

September 2011/27

## **Core funding/operations**

### **Request for data**

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Returns should be uploaded to the HEFCE extranet by noon on Friday 9 December 2011

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This document asks higher education institutions to complete the annual survey of students on recognised higher education courses. The data will: enable us to monitor the achievement of funding agreement targets for 2011-12; give an early indication of the number of higher education students studying in the academic year 2011-12; and, with data supplied to the Higher Education Statistics Agency, inform our allocation of teaching funds for 2012-13.

# HESES11

## Higher Education Students Early Statistics Survey 2011-12

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**The appendices contain detailed technical information and are available with this document at [www.hefce.ac.uk/pubs/hefce/2011/](http://www.hefce.ac.uk/pubs/hefce/2011/).**

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# HESES11: Higher Education Students Early Statistics Survey 2011-12

To	Heads of HEFCE-funded higher education institutions Heads of universities in Northern Ireland
Of interest to those responsible for	Student data, Funding
Reference	2011/27
Publication date	September 2011
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## Executive summary

### Purpose

1. This document asks higher education institutions (HEIs) to complete the annual survey of students on recognised higher education (HE) courses.

### Key points

2. The data will:
  - a. Enable us to monitor the achievement of funding agreement targets for the academic year 2011-12.
  - b. Together with data supplied to the Higher Education Statistics Agency (HESA), inform our initial allocation of teaching funds for the academic year 2012-13.
  - c. Give an early indication, including for government planning purposes, of the number of HE students studying in the academic year 2011-12.
3. This document provides:
  - a. An introduction to the Higher Education Students Early Statistics Survey 2011-12 (HESES11) and how we use it to inform our funding.
  - b. Guidance notes for completing the HESES11 survey.
  - c. Definitions used in the HESES11 survey.
  - d. Examples of the survey tables, which will be available to download from the HEFCE extranet in November 2011.
  - e. A summary of changes since HESES10 (Annex B) including those previously announced in 'Advance notification of changes to HESES and HEIFES for 2011-12' (Circular letter 17/2011).

### Action required

4. HESES11 should be completed by all HEIs receiving HEFCE recurrent funds for teaching. Returns must be uploaded to the HEFCE extranet by **noon on Friday 9 December 2011**. Workbooks will be available to institutions in November 2011.

### Outline timetable for HESES11 return and 2012-13 funding round

5. The provisional timetable is summarised below.

November 2011	<ul style="list-style-type: none"><li>• Organisation and group keys issued to institutions</li><li>• HESES workbooks available to institutions</li></ul>
December 2011	<ul style="list-style-type: none"><li>• 9 December – deadline to return HESES data</li><li>• Mid-December – validation and credibility checks by HEFCE</li><li>• Mid-December – we will write to institutions, asking them to verify the data, answer any questions about the data and submit any appeals against formulaic grant adjustments. Institutions will have <b>five working days</b> to answer questions about data</li></ul>
13 January 2012	<ul style="list-style-type: none"><li>• Institutions must have signed off their HESES data as being correct at 1 December 2011</li><li>• Deadline for submission of appeals</li></ul>
February 2012	<ul style="list-style-type: none"><li>• Institutions notified of final grant adjustments, including the outcome of appeals</li></ul>
19 March 2012 (provisional)	<ul style="list-style-type: none"><li>• Institutions notified of initial allocations of recurrent grant for 2012-13</li></ul>
22 March 2012 (provisional)	<ul style="list-style-type: none"><li>• Publication of initial allocations of recurrent grant for 2012-13 for all institutions</li></ul>
To be confirmed	<ul style="list-style-type: none"><li>• Deadline for institutions to request transfers of provision and other amendments to provisional allocations</li></ul>
Late July 2012	<ul style="list-style-type: none"><li>• Institutions receive their funding agreements and where appropriate, amended initial allocations for 2012-13</li></ul>

# **The HESES11 survey and data used for funding purposes**

## **Introduction**

6. The Higher Education Students Early Statistics (HESES) survey is the primary data source that informs our initial allocations of formula-based recurrent teaching funding for HEIs. It collects aggregate information on students that are counted for funding purposes, as well as other students, but it does not, in itself, define what we fund, or what our funding is for. Rather, the students that we count for funding purposes serve as a proxy for all the teaching and related activities that we fund.

## **Formula funding**

7. Our recurrent grants to institutions are almost entirely allocated by formula according to our expectations of what each institution will need for various activities. Formula funding ensures we are fair, transparent and efficient in how we distribute grants to institutions.

8. We provide our recurrent funding as a 'block grant' that institutions may spend as they choose; they are not expected to mirror our calculations in their own internal spending. This allows institutions to target spending towards their own priorities, as long as these relate to teaching, research and related activities – the activities that we are empowered to fund. The block grant supports institutions' autonomy and means they do not have the burden of accounting in detail for their expenditure.

9. In calculating the block grant, we adopt certain measures of volume. In general, these measures act as proxies for all the teaching, research and related activities that we are funding, but they do not in themselves define what we fund (or what our funding is for). For example, our volume measures are generally defined in terms of the activities of academic departments – how many students or research-active staff they have in a particular subject – but the funding is intended to support the institution as a whole, including, for example, its library and central administration, not just those academic departments. We generally categorise our volume measures in terms of subject groupings, but these could also be considered proxies for the different ways in which institutions undertake their teaching and research activities – for example, reflecting how some activity takes place in laboratories, some on field trips, some at the computer and some in lecture theatres.

10. HEFCE has a fixed budget. Our funding methods are therefore designed to ensure institutions receive an appropriate share of this budget, given the nature and level of their activities. To ensure we distribute this budget fairly between institutions, we need to ensure that institutions' activities are reported in a consistent way. So, when we collect information on student numbers, we need to ensure these are reported against common definitions. If we change definitions, we will do so for all institutions in the same year – it would be unfair to have one rule/definition for one group of institutions and another for a different group, given that in any one year all institutions are effectively competing with each other for a share of our fixed budget. Similarly, if we

decide to change how we count activity, this does not necessarily mean a change to our overall budget, though it may affect how that budget is shared between institutions.

11. There is further information about our methods for funding institutions in 'Guide to funding: how HEFCE allocates its funds' (HEFCE 2010/24) and in 'Recurrent grants for 2011-12' (HEFCE 2011/07).

12. 'Teaching funding and student number controls: Consultation on changes to be implemented in 2012-13' (HEFCE 2011/20) sets out our proposed changes to the way we fund teaching and allocate student numbers.

## HESES

13. There are two main data returns that we use to inform our teaching grant for HEIs. These are:

a. **The HESES survey.** This return is submitted directly to us and provides aggregate information on the numbers of students. It is submitted by institutions in December each year and reports on the student numbers in the current academic year. This ensures our funding decisions are based on the most up-to-date information available. However, because this is provided in-year, it includes elements of forecasting relating to student activity that occurs after 1 December.

b. **The HESA individualised student record.** This is submitted at the end of the academic year. We intend to routinely use this data to inform final allocations of teaching grant for 2012-13. We use it to gain information about student characteristics that are used, for example, in our funding allocations for widening participation. We also use it to reconcile against the HESES data previously provided to us by HEIs. We receive it approximately 12 months after the equivalent HESES data. Information about the HESA individualised student record is available from

[www.hesa.ac.uk/index.php/component/option,com\\_collns/task,show\\_collns/targetYear,any/targetStream,1/Itemid,231/](http://www.hesa.ac.uk/index.php/component/option,com_collns/task,show_collns/targetYear,any/targetStream,1/Itemid,231/).

14. Further education colleges (FECs) make equivalent data returns. These are the Higher Education in Further Education: Students (HEIFES) survey (the equivalent of HESES) and the individualised learner record (ILR), which is submitted to the Data Service and is the equivalent of the HESA individualised student record.

15. Although HESES is primarily intended to collect information on students counted for funding purposes, it also collects information on other higher education (HE) students. This helps to provide a more complete picture of institutions' HE activities, supporting our understanding of their circumstances and student population, including for audits and reconciliations with HESA data, and informing government planning.

16. The guidance in HESES defines a student population covered by the return. Within that population, we need to ensure that activity for a given student on a given programme of study (known as an 'instance') is counted once and once only. Instances are broken down into separate years of study, and the guidance in HESES defines

whether such a year of instance is countable in HESES11, or whether it is countable in the return for a different year. These years of instance are further disaggregated according to their:

- a. **Residential and funding status.** Residential status is broken down between Home and European Union (EU) students and overseas students. The funding status of Home and EU students is broken down between HEFCE-fundable and non-fundable.
- b. **Mode of study.** The three modes identified separately in HESES are full-time, sandwich year-out and part-time. Our funding method distinguishes between these modes of study because we need to reflect the tuition fee regime which, together with HEFCE grant, is designed by Government to support HE teaching.
- c. **Level of study.** The main HESES tables require a disaggregation between foundation degree, undergraduate (excluding foundation degree), postgraduate taught and postgraduate research. Table 5 of HESES requires a further disaggregation of undergraduate numbers.
- d. **Subject-related price group.** There are four price groups used for funding purposes (A, B, C and D) reflecting the broad relative costs of provision in different subject areas. However, HESES also collects information separately on:
  - i. Media studies. For funding purposes, we apportion the numbers returned in media studies between price groups B, C and/or D to reflect the outcome of institutional reviews in 2004-05 or subsequently.
  - ii. Initial teacher training (ITT) leading to qualified teacher status (QTS), and in-service education and training (INSET) for those holding QTS. The Training and Development Agency for Schools (TDA), rather than HEFCE, has the funding responsibility for these two categories.
- e. **Length of study in the year.** Years of instance are classified as either standard length or long, depending generally on the number of weeks of study in the year.
- f. **Fee status.** For Home and EU students, we require a breakdown according to various fee categories. This informs the fee assumptions in our main teaching funding method. Additional data are being collected in this table to allow us to make more realistic assumptions about fee rates when phasing out funding for old-regime students.
- g. **Completion status.** The main volume measure in our teaching funding method relates to students who complete their year of instance. This is because we want to emphasise the importance of students completing their year of instance and to encourage institutions to support students through to the completion of all they intended to do during the year, for which they will have paid a tuition fee. Further information about the reason for our approach can be found at [www.hefce.ac.uk/learning/funding/completion/](http://www.hefce.ac.uk/learning/funding/completion/).



17. This publication also provides definitions for use in making estimates of 2012-13 student numbers, disaggregated into students expected to be subject to the new and old fee and funding regimes. These data are required to inform our initial allocations of teaching funding for 2012-13.

## **Data verification and assurance**

18. Given its significance to institutions' funding, we require the completed HESES return to be signed off by the vice-chancellor or principal of the institution. This requires them to have an understanding of our data collection requirements, to ensure that the institution has systems capable of producing an accurate, complete return and that the preparer of the return has compiled it competently. We also require the annual report of the institution's audit committee to include the committee's conclusions on the adequacy and effectiveness of the HEI's arrangements for the management and quality assurance of data submitted to HESA and to HEFCE and other funding bodies. This is to ensure adequate governance oversight of the systems used to generate funding data by the HEI, since poor data may represent a significant financial risk for HEIs that audit committees need to consider.

19. We have a number of processes to check the accuracy of institutions' data returns that inform our funding, although the responsibility for the accuracy of these returns rests with the institutions themselves:

- a. **Validation checks.** Most of these are built into the HESES Excel workbooks that institutions complete. These ensure numerical consistency within the return (for example that certain figures on one table match figures on another).
- b. **Credibility checks.** Some of these are built into the HESES Excel workbooks and will generate warning messages if certain thresholds are breached. In addition, HEFCE staff carry out credibility checks of all data returns and will question institutions about them. Credibility checks will relate to data values or changes that, while possible, appear unexpected or unlikely.
- c. **Data audit.** Data audit tests institutions' systems and processes in preparing data returns. It involves both desk-based work and visits to institutions (lasting at least three days on site for HESES) to review their management information systems, the documentation that provides an audit trail showing how the return was produced, and substantial testing of the assumptions underpinning and values reported on the return. This will involve selecting samples of students and testing how they have been reported in the return. Our HESES data audits are cyclical, ensuring that all institutions will be audited periodically, but we also select institutions on a risk basis. This takes account of a number of factors, such as our assessment of institutional risk and the likelihood of data errors leading to financial implications.

d. **Data reconciliation.** This occurs in the following academic year. We use the student data submitted to HESA by the HEI to reconstruct what the original HESES return for the institution would have looked like. Where differences between the original and re-created HESES return result in significant funding discrepancies, the institution is selected to go through a reconciliation process; this involves explaining the reasons for data differences and, if necessary, submitting amendments to HESA data. At the end of the process, we will treat the final (amended) HESA data as superseding the original HESES return, and we will implement any consequential funding adjustments for all relevant years (subject to an appeals process where appropriate).

## **Content of the HESES survey**

20. The HESES11 survey contains eight tables for completion:

- Table 1a – Full-time counts of years of instance
- Table 1b – Counts of years of instance for first registrable medical and dental qualifications for doctors and dentists (this is a subset of Table 1a)
- Table 2 – Sandwich year-out counts of years of instance
- Table 3 – Part-time counts of years of instance and full-time equivalents (FTEs)
- Table 4 – Home and EU fees
- Table 5 – Counts of years of instance split between Home and others entitled to pay Home and EU fees
- Table 6 – Full-time years of instance counted towards the 2011-12 student number control
- Table 7 – 2012-13 forecast of counts of HEFCE-fundable and employer co-funded years of instance and FTE.

21. Annexes to the HESES11 survey provide definitions and guidance on completion of the tables. These include:

- a. **Annexes A and B.** These provide an introduction to the guidance in HESES and report on changes since last year.
- b. **Annexes C and D.** These contain descriptions of the tables themselves, and a sample of those tables.
- c. **Annex E.** This explains what should be done when the tables have been completed, including a description of the data verification process.
- d. **Annexes F and G.** These define the HESES population and recognised HE courses.
- e. **Annexes H and J.** These define when activity by students in the HESES population should be counted and how to determine the full-time equivalence of part-time students.

- f. **Annex I.** This defines whether a student should be recorded as a completion or non-completion.
  - g. **Annexes K to O.** These explain how to record different categories of activity and include the definitions of residential and funding status, price group, mode, level and length of study in the year.
  - h. **Annex P.** This contains guidance on assigning student activity to the appropriate fee level category in Table 4.
  - i. **Annex Q.** This contains guidance on how to identify 'old-regime' and 'new-regime' students to be included in Table 7.
22. Appendices to the HESES11 survey contain detailed technical information related to the HESES11 survey tables for completion. These are:
  - a. **Appendix 1.** This details the methods we intend to adopt when re-creating HESES11 from the HESA 2011-12 student record.
  - b. **Appendix 2.** This describes a series of validation checks, contained within the HESES11 survey tables, that ensure incorrect data are not submitted.
  - c. **Appendix 3.** This describes three additional worksheets relating to the estimated grant adjustment calculations.
  - d. **Appendix 4.** This describes a series of credibility checks, contained within the HESES11 survey tables in the form of first stage credibility warnings on Tables 1-7 and automatic check highlighting on the comparison tables, to help institutions check data credibility prior to submission to HEFCE.
  - e. **Appendix 5.** This describes two additional worksheets that derive provisional rates of funding that we intend to use to calculate initial allocations of teaching grant relating to old-regime students for 2012-13.
23. All activity that meets the criteria set out in Annexes F to H should be reported, even if it will not be used directly to allocate funds. For example, HEFCE will not count for funding purposes students ordinarily resident outside the EU or specified overseas territories, but these students should still be included in the 'Island and overseas' column in the tables.
24. The main sources of data that will inform our initial allocations of recurrent grant for 2012-13 are:
  - Tables 1 to 4, 6 and 7 of HESES11
  - the individualised student data submitted to HESA.
25. In addition to their primary purpose of collecting data to inform initial funding allocations, Tables 1 to 4 and 7 of HESES11 provide us with information about institutions as a whole, including HE activity that we do not count for funding. Data returned in Table 5 are collected for planning and monitoring purposes, including those of the Department for Business, Innovation and Skills. Data returned on Table 6 will be used to monitor the student number control for 2011-12.

26. For funding allocation and other purposes we source various kinds of information from the HESA individualised student data. The algorithms we expect to use are shown in 'HESA funding and monitoring data 2010-11: web facility' (Circular letter 21/2011), at [www.hefce.ac.uk/learning/datacoll/derived/webfacility](http://www.hefce.ac.uk/learning/datacoll/derived/webfacility). This information includes:

- re-creations of HEFCE funding returns (including a HESES10 re-creation)
- derived statistics likely to inform HEFCE funding (including indicative 2012-13 allocations for widening participation and teaching enhancement and student success)
- derived statistics we intend to publish, for verification by institutions
- data summaries for verification by institutions.

Institutions should note that incomplete or incorrect records may adversely affect funding allocations and that we may not increase allocations where initial allocations are understated due to incomplete or incorrect data.

## **Queries and further information**

27. Queries about this survey should be e-mailed to [heses@hefce.ac.uk](mailto:heses@hefce.ac.uk). In addition, the HEFCE web-site contains a web page with answers to frequently asked questions (FAQs). It can be found at [www.hefce.ac.uk/learning/datacoll/heses/](http://www.hefce.ac.uk/learning/datacoll/heses/). The page will also contain any amendments or clarifications that need to be made after the publication and workbook are available. Institutions are expected to look there for guidance before and during completion of their HESES return. We will use an e-mail list of HESES contacts to notify institutions of any significant changes or updates.

## **HESES contacts at institutions**

28. Each institution has sent us details of a contact for the HESES survey. If institutions wish to check or change their HESES contact details, they should contact their HEFCE higher education policy adviser (HEPA). Contact details for the HEPA for each institution can be found on the HEFCE web-site at [www.hefce.ac.uk/aboutus/cop/contact/](http://www.hefce.ac.uk/aboutus/cop/contact/).

## **Data preparation and submission**

29. An Excel workbook with spreadsheet versions of the tables in Annex C will be available on the HEFCE extranet, <https://extranet.hedata.ac.uk>, in November 2011. Heads of institutions and HESES contacts will be issued with an organisation key (unique to their institution) and a HESES11 group key (unique to the HESES11 survey) to enable access to this workbook via the HEFCE extranet. Institutions will need to upload the completed workbook to the same web-site. In addition to the organisation and group keys, heads of institutions and HESES contacts will be issued with guidance on how to use the extranet and a check list for use before submission of the completed workbook.

30. Returns must be uploaded to the HEFCE extranet no later than **noon on Friday 9 December 2011**. We will not give extensions to this deadline.

31. The data do not need to be formally signed off by the vice-chancellor or principal at this stage. However, it is good practice for someone independent of the compiler of the return to review it carefully to ensure that the figures make sense in relation to the supporting data, and that basic inputting errors have not occurred. A senior member of the institution should also agree the return prior to submission.

32. Where an institution fails to return data on time, or the returned data are not credible, we may base the allocation of funds on our own estimate of student activity. Institutions that do not submit credible data on time are more likely to be audited.

33. Good practice guidance relating to the preparation of the HESES return can be found in 'Audit issues' in paragraphs 45 to 62 and throughout this publication.

## **Data verification**

34. A number of validation and credibility checks are carried out automatically within the workbook (detailed in Annex E, Appendix 2 and Appendix 4). The workbook also contains worksheets showing whether institutions have met their funding agreement targets for 2011-12 and any consequential estimated grant adjustments (detailed in Appendix 3). Worksheets are also included which derive provisional rates of funding that we intend to use to calculate initial allocations of teaching grant relating to old-regime students for 2012-13 (detailed in Appendix 5). The appendices are available to download with this document at [www.hefce.ac.uk/pubs](http://www.hefce.ac.uk/pubs).

35. We will carry out further credibility checks when we receive the workbook. During December, we will write to institutions, attaching their HESES data and the comparison and grant adjustment reports generated from them. Institutions will be asked to:

- verify that the data are accurate, or make corrections
- answer any questions we may have about the data and the explanations already provided.

The timetable for this is tight: if corrections to data are made, we then reissue the data for re-verification by institutions. We expect institutions to answer any questions about data within five working days. We may refuse to revise allocations once data have been verified and signed off. Annex E contains further detail on the data verification process.

36. We will also write separately to institutions about provisional formulaic grant adjustments and invite appeals for mitigation.

## **Sign-off of HESES11 data**

37. By 13 January 2012, all institutions must have signed off their HESES data as being correct as at 1 December 2011. The data must be signed off by the vice-chancellor or principal of the institution, and they should have an understanding of our data collection requirements, to ensure that the institution has systems capable of

producing an accurate, complete return and that the preparer of the return has compiled it competently. If it is anticipated that the vice-chancellor or principal will be unavailable to sign off the data during the data verification period, institutions should e-mail [dataverification@hefce.ac.uk](mailto:dataverification@hefce.ac.uk) to agree interim arrangements. We will expect the vice-chancellor or principal to sign off the data on their return. If an institution fails to meet the deadline for signing off data, or we believe the data to be inaccurate, we reserve the right to use our own estimates of data to inform funding allocations (see paragraph 18 of 'Model Financial Memorandum between HEFCE and institutions', HEFCE 2010/19). We cannot guarantee that any amendments to data after 13 January 2012 will be taken into account.

## **Outline process for the 2012-13 funding round**

38. During January we will consider any appeals against formulaic grant adjustments. Institutions will be notified of the outcomes of their appeals in February. We intend to notify institutions of their provisional allocations of recurrent grant for 2012-13 on 19 March 2012. Further information about our proposals for the 2012-13 funding round are set out in HEFCE 2011/20.

39. In January 2013, we will compare HESES11 data with the 2011-12 HESA student record. If we find, either through reconciliations with HESA data or through any data audit, that erroneous data have resulted in institutions receiving incorrect funding allocations (including for widening participation, teaching enhancement and student success, and other targeted allocations), we will adjust their funding accordingly for all relevant years (subject to the appeals process and the availability of our funds).

## **Audit**

40. We will continue our programme of audits of data used for funding purposes. Institutions should therefore keep an adequate audit trail recording how the data have been derived. This is especially important where institutions are including estimates or making judgements; for example, the basis for forecasting non-completions should be recorded. Institutions must ensure that estimates are reasonable and have sufficient supporting data. Evidence of enrolment should be available for inspection. Our auditors will also seek to rely on any relevant internal audit work that has been carried out on the student record system and/or the method for compiling the HESES return, where appropriate.

41. As part of our audit process we will compare HESES11 data with a variety of other data, most notably individualised HESA data as these become available. Details of how we expect to compare HESA data are given in 'HESA funding and monitoring data 2010-11: web facility' and in Appendix 1. We will use HESA data to assist in assessing the validity of non-completion forecasts.

42. Paragraph 34 of Annex B of 'Model Financial Memorandum between HEFCE and institutions' (HEFCE 2010/19) states that the annual report of the institution's audit committee must include the committee's conclusions on the adequacy and

effectiveness of the HEI's arrangements for the management and quality assurance of data submitted to HESA and to HEFCE and other funding bodies. This is to ensure adequate governance oversight of the systems used to generate funding data by the HEI, since poor data may represent a significant financial risk for HEIs that audit committees need to consider. Further guidance for audit committees on data assurance can be found at [www.hefce.ac.uk/finance/assurance/guide/arrange.asp](http://www.hefce.ac.uk/finance/assurance/guide/arrange.asp).

43. Previous audits of HESES data have identified a number of areas where some institutions were incorrectly interpreting the HESES definitions, or where internal institutional systems and practices did not facilitate the production of the HESES return. These have included:

- incorrect application of the rules on student completion, particularly those around the requirement for submission of the final assessment in all modules intended to be studied in the year
- lack of identification of students' initial study intentions for the purpose of determining completion status
- lack of robustness in the estimation of non-completions and forecast countable years
- incorrect calculation of full-time equivalence (FTE) and incorrect assignment of multiple instances to part-time students following modular programmes
- incorrect assignment of activity to price groups
- poor communication within collaborative arrangements
- inadequate audit trail between the student record system and the HESES return
- lack of systems notes both for recording of data on student activity and for the HESES preparation process
- lack of analytical review of figures in the return to identify anomalies and ensure that the data make sense
- lack of reconciliation between HESES and HESA returns before submission to HESA
- incorrect recording of student activity as being full-time if a student is only active for part of a year.

44. To assist with future compliance, we strongly recommend that each institution undertakes a formal review of existing arrangements, taking into account the information below and the 'Audit issues' sections in the annexes.

## **Audit issues**

### **Inadequate audit trail**

45. In some cases, the audit trail between student record systems and the HESES return was inadequate or had not been retained at all. A record of the basis for making estimates of non-completions and forecast countable years should be kept, along with any relevant electronically stored data, printouts and working papers used in completing the return. The audit trail should be retained for at least three years. Source documents such as registration forms should also be retained. This should include information on students' detailed study intentions for the academic year.

46. There should be an audit trail to individual figures in the return for all Column 1 figures, identifying individual students within those figures. During audit we ask for a sample of these figures to be rebuilt. In the case of the estimates, that is Columns 2 and 3, there must be a clear rationale for the figures and back-up data justifying what is being returned.

47. Where the institution leads in franchise arrangements, the audit trail must include evidence for the inclusion of franchise students, and forecasts relating to such students.

### **Knowledge management**

48. At many institutions, the knowledge required to prepare the HESES return is undocumented and sometimes lies with only one person. This creates a risk that in the absence of that person, particularly at crucial times of the year, the institution may not be able to prepare the return on time or to the appropriate standard. A good audit trail helps to reduce this risk. But we also consider it good practice for all institutions to manage this risk by ensuring that at least two people can produce the information for the return and prepare the return itself.

49. In addition, institutions should ensure that the relevant processes are adequately documented and that this documentation is kept up to date. This requires all relevant staff, including experienced staff, to consider the HESES guidance each year and make any necessary changes to their systems.

50. There are, quite reasonably, differences between academic regulations of institutions and the rules relating to the counting of students for funding purposes. It is essential that individuals involved in completing student data fields which are used for funding purposes fully understand the fields they are completing in the student record. For these fields, student activity should be reported with regard to funding rules and not in accordance with the institution's own academic regulations and progression rules. This is discussed in more detail in Annex I.

### **Analytical reviews and data reconciliations**

51. A reconciliation between HESES11 and HESA 2011-12 returns should be made before the HESA data are submitted. Differences should be examined as part of the process for identifying possible data error, and amendments made to HESA data if



necessary. This will be useful preparation for the HESA-HESES reconciliation exercise if differences are substantial. It should also help to eliminate inconsistencies in students' treatment in the two returns for future reference, and reduce systems problems with the way students are returned in HESA data before submission. In summer 2012 we will give institutions access to a web facility that will be able to generate a re-creation of HESES11 from the HESA 2011-12 return. An equivalent exercise on the previous year's return may highlight errors in HESES10 that can be avoided in HESES11.

### **Management information**

52. The student record system is not only important from the point of view of HESES and other data returns, it is also a source of management information for the institution. But the opportunity to use this resource is being lost at many institutions we visited. Typically, student records are only cleaned up at the time of end-of-year examinations and assessments, because academic staff have to rely on the data at that time. The opportunity to use the data throughout the year as a management tool for identifying problem areas or potentially failing students is lost.

53. It is important to encourage use of the main student record system for recording marks within the year if possible, and to the level of detail required to comply with the rules on correctly assessing student completion status. This will now particularly include accurate recording of final assessment submission dates to assess student completion status within the 13-month rule. Use of separate databases held locally at departmental, school or faculty level will hinder the ability of the HEI to ensure that the main student record is up to date and hence useful as a management tool.

54. Management information is only useful if it is complete, accurate and timely. In turn, complete and accurate data would produce a more accurate HESES return.

55. During audit we do not ask for any reports that could not reasonably be expected to be used in everyday activity. However, some institutions have great difficulty in extracting these standard data from the student record system, and many do not even hold the required data. Data that cannot be extracted and reported on are of little value.

56. Developing exception reporting and using such reporting to highlight data issues for review and subsequent amendment will help to ensure that high-quality data are returned in the future. Data quality will also be enhanced by data management reviews by those with a good understanding of the data.

57. We encourage institutions to liaise with appropriate HEFCE staff when issues concerning the correct returning of data arise.

### **Variable practices**

58. Although institutions have academic regulations and procedures for managing student data in the student record system, the audit visits picked up many instances of inconsistent practice within institutions.

59. Differential practices did not necessarily mean that procedures were not being followed; in a number of instances it was clear that the procedures were inadequate to cope with the complexity of the area in question. For example, faculties of health studies often have requirements over and above those of the rest of the institution. However, in other areas it was clear that the staff managing the data were not sufficiently trained in the institution's requirements.

60. Data quality will be improved if the requirements of all data users are fully understood and taken into account by staff who manage and maintain the student record system. Many instances were found where staff were responsible for completing key fields required for funding purposes but they had no training on the rules governing completion of those fields in accordance with funding rules. In many cases the data required to complete those fields correctly were not recorded on the main student record system, so robust centralised systems could not be implemented, and reliance was placed on inadequately trained staff. All users should also be trained in the data requirements of the institution, with reference to differences between academic regulation requirements and funding rule requirements, so that they understand why they are asked to perform particular tasks.

#### **Problems with implementing new student record systems**

61. Implementing a new student record system is a major undertaking. It is essential that institutions manage this process carefully to ensure that the system does not fall into disrepute before the process is complete.

62. One problem we found with new systems (even proprietary systems) was the lack of ability to draw out management information and basic reports from the system (see also paragraph 55). As part of the overall implementation project, it is essential to include the requirements both for everyday reports needed by academic and administrative staff and for top-level management reports, and to make arrangements to ensure that they are delivered.

## **Annex A HESES11: Getting started**

1. This annex is aimed at those with responsibility for completing the Higher Education Students Early Statistics Survey (HESES). It provides an introduction to the structure of the survey and to where guidance and definitions can be found in subsequent annexes, but it does not attempt to summarise the guidance in those other annexes. This annex points to guidance on which students can be counted in HESES11, then goes through each table in turn and points to where guidance may be found on each column and row heading. It also points to where guidance may be found on what to do when the HESES tables have been completed.
2. Additionally, throughout the annexes are many 'example' boxes, and 'audit issue' boxes containing common issues found by our auditors and good practice tips.
3. It is recommended that this annex is read alongside the sample tables in Annex C.

### **Which students are counted in HESES?**

4. The guidance in HESES defines a higher education student population covered by the return. Within that population, we need to ensure that activity for a given student on a given programme of study (known as an 'instance') is counted once and once only. Instances are broken down into separate years of study and the guidance in HESES defines whether such a year of instance is countable in HESES11, or whether it is countable in the return for a different year. HESES11 therefore records counts of years of instance for students aiming for a recognised HE qualification. This is not the same as counting students or modules. Further information on recognised HE qualifications is in Annex G.
5. An 'instance' is defined as a 'coherent engagement with the institution by a student aiming towards the award of a qualification(s) or credit' (see Annex F, paragraph 2). This period may be split into one or more years of instance (see Annex H, paragraph 2).
6. To be counted in HESES11, a year of instance must be generated by a student in the HESES11 population. Paragraphs 3 to 5 of Annex F define criteria that instances must meet for this, relating, for example, to when students are actively pursuing studies, their course aim and whether or not they will be included in other data returns by the same or another institution. These paragraphs also identify particular cases that are excluded from the population. Paragraph 8 of Annex H provides additional criteria that a year of instance must meet to be counted in the HESES11 population, relating to the need to charge a tuition fee, the minimum amount of activity and the requirement that the student is not writing up a thesis (or similar) for the whole year of instance.
7. Some years of instance may be generated by students who are in the HESES11 population and meet the criteria in paragraph 8 of Annex H, but may instead be counted in a previous or future HESES survey rather than HESES11. The flow chart in Figure H2 of Annex H will help determine whether a year of instance should be returned in

HESES11 and whether it should be returned in Column 1 or 2 of HESES Tables 1, 2 and 3.

#### Things to note

8. Care should be taken if the institution is involved in a franchise arrangement with another institution to ensure years of instance are not being double-counted (collaborative arrangements, excluding those solely for validation, are treated as franchises for HESES purposes). See paragraphs 6 to 13 of Annex F for guidance on the return of franchised activity in HESES.

9. Annex H, paragraph 4, contains guidance on how to treat students who are studying towards two or more independent qualifications at the same time.

10. Annex H, paragraphs 35 to 48, explain how to return the following kinds of summer school in HESES:

- summer schools for potential HE students
- access provision
- within-course periods of study in vacation time
- foundation degree bridging courses.

#### **How should I return years of instance on Tables 1, 2 and 3?**

11. Tables 1, 2 and 3 record counts of years of instance for full-time, sandwich year-out and part-time students respectively, and are mutually exclusive. To determine whether a year of instance should be returned on Table 1, 2 or 3, see Annex M which contains guidance on mode of study.

12. Paragraphs 16 to 34 of this annex consider the column and row headings in Tables 1, 2 and 3 and point to the guidance on assigning years of instance to the appropriate column and row in these tables.

13. Paragraphs 12 to 20 of Annex D contain more detail on how activity should be assigned to Tables 1, 2 and 3 and the columns within them.

#### Things to note

14. Occasionally a student's mode of study changes, either between years or mid-year. See paragraphs 8 to 10 of Annex M for guidance on how to return such years of instance.

15. For the purposes of meeting the attendance definition for a full-time course, full-time study can include learning in the workplace, where this is a course requirement. Paragraphs 11 to 14 of Annex M provide guidance on this.

#### **Column 1 or Column 2?**

16. Columns 1 and 2 are mutually exclusive. Whether a year of instance should be recorded in Column 1 or 2 depends on when they become countable, and this in turn depends on the start date for their first year of instance. The flow chart in Figure H2 of

Annex H will help determine whether a year of instance should be returned in HESES11 and whether it should be returned in Column 1 or 2.

17. Annex D, paragraph 13, contains further guidance on what should and should not be returned in Column 2.

#### Things to note

18. Care needs to be taken where modules span two years of instance. Paragraph 19 and the flow chart in Figure H1 of Annex H provide guidance on how to count years of instance in such cases.

#### **Column 3 (forecast of years not completed)**

19. The main volume measure in our teaching funding method relates to students who complete their year of instance. This is because we want to emphasise the importance of students completing their year of instance and to encourage institutions to support students through to the completion of all they intended to do during the year, for which they will have paid a tuition fee. Further information about the reason for our approach is on the HEFCE web-site at [www.hefce.ac.uk/learning/funding/completion/](http://www.hefce.ac.uk/learning/funding/completion/). Column 3 of Tables 1, 2 and 3 should therefore contain an estimate of the number of years of instance returned in Column 1 or 2 which students will not complete. Annex I provides the definition of completion and non-completion. These estimates should be supported by historical data and shown as a negative number.

20. Some guidance on the completion of the HESA fields FUNDCOMP and MODOUT, which explicitly relate to completion status, can be found in the 'audit issues' in Annex I, paragraphs 26 and 33 to 35.

#### **Column 4 (estimated countable years for 2011-12)**

21. This is calculated automatically within the workbook as the sum of Columns 1, 2 and 3.

#### **Column 4a (Table 3 only)**

22. Column 4a should contain the estimated FTE for the academic year for part-time years of instance, and reflect the sum of the FTE for the years of instance returned in Column 4. Annex J contains guidance on calculating FTE for part-time students.

#### Things to note

23. Care should be taken when determining the FTE of a student who has changed their mode of study mid-year, or who is exempt from part of a course due to, for example, accredited prior learning. See paragraphs 5 and 8 in Annex J.

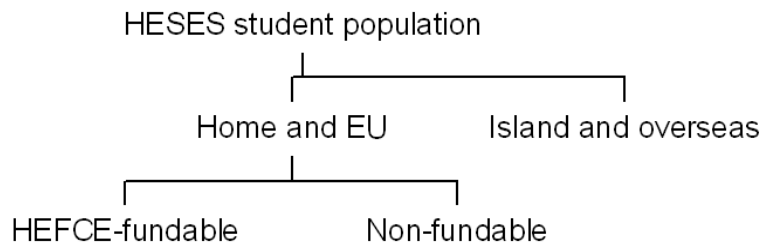
#### **Columns 5 and 5a**

24. Column 5 should contain a subset of non-fundable numbers included in Column 4. It will identify estimated completed years of instance that are to count towards the delivery of employer co-funded student number targets. Column 5a (in Table 3 only)

should contain a subset of non-fundable FTEs included in Column 4a of that table. It will identify the estimated FTE for the completed years of instance returned in Column 5. See paragraph 9b of Annex K and paragraphs 17 and 18 of Annex D.

### **Fundability status**

25. There are three fundability statuses collected in HESES: HEFCE-fundable, non-fundable, and Island and overseas. Students in the HESES population are disaggregated as follows:



26. Annex K, paragraphs 2 to 5, explains how to distinguish between Home and EU students and Island and overseas students.

27. Annex K, paragraphs 7 to 10, explains how to determine which Home and EU students are HEFCE-fundable and which are non-fundable. Home and EU students aiming for an equivalent or lower qualification (ELQ) compared to one they already hold are classed as non-fundable (unless they are exempt from this policy). Annex K, paragraphs 11 to 33, contain guidance on assessing a student's ELQ status and the exemptions that apply for our funding purposes.

### Things to note

28. Years of instance for students funded by another EU public source will typically need to be reported as non-fundable, depending in part on whether the level of contribution from that other source is at the HEFCE standard rate or higher. Annex K, paragraphs 39 to 45, contains examples of how to determine the number of students supported from other EU public funds (and therefore to be reported as non-fundable), where the available money is not enough to cover HEFCE standard resource for all relevant students. Additionally there is an Excel template on the HEFCE web-site under 'Is there an Excel template to calculate the number of students who are non-fundable in individual cases, where there is funding from another EU public source?' at [www.hefce.ac.uk/learning/datacoll/heses/](http://www.hefce.ac.uk/learning/datacoll/heses/) which will calculate the number of students who are non-fundable in individual cases.

### **Price groups**

29. There are four subject-related price groups that we use for funding purposes (A, B, C and D), which reflect the broad relative costs of provision in different subject areas. In general, HESES collects information separately on each of these, except that media studies provision is reported separately (for funding purposes, we subsequently apportion the numbers returned in media studies between price groups B, C and/or D to reflect the outcome of institutional reviews). In addition, HESES collects information

separately on two further price groups relating to provision for which the TDA has funding responsibility: ITT leading to QTS and INSET for those holding QTS. Price groups are defined in terms of academic cost centres. Annex L contains guidance on how to assign a year of instance to the appropriate price group(s).

#### Things to note

30. Annex L contains particular guidance on how to treat medicine, dentistry, veterinary science, education, sports and leisure studies and computing when assigning activity in these areas to price groups.

31. Care should be taken where students study two or more subjects at an institution, or where a student is taught a different subject under a franchise arrangement. See paragraphs 17 to 26 of Annex L.

#### **Long years of instance**

32. Years of instance are classified as either standard length or long. Full-time years of instance are normally treated as long based on the number of weeks' study in the year; for part-time years of instance, it depends on the length of each year for an equivalent full-time course. Annex O, paragraphs 2 to 4, defines 'long' for full-time courses, and Annex O paragraph 8 defines 'long' for part-time courses.

#### Things to note

33. Care should be taken where a year of instance includes a period of work-based study – see paragraphs 4 and 5 of Annex O.

#### **Level**

34. Annex N describes how to determine whether a student should be classed as an undergraduate or postgraduate. Within these classifications it also defines foundation degree students and whether a postgraduate student should be classed as postgraduate taught or postgraduate research.

#### **How should I return years of instance on Table 1b?**

35. Table 1b is a subset of Table 1a and contains all full-time undergraduate students on programmes of study that lead to a first registrable medical or dental qualification for doctors and dentists. Annex D paragraphs 5 to 11 explain how to return years of instance in Table 1b. The columns in this table are the same as those in Table 1a.

#### **How should I return years of instance on Table 4?**

36. Table 4 collects information about tuition fees for Home and EU students included within Columns 1 or 2 of Tables 1a, 2 and 3. We use these data to inform the fee assumptions we make in our main teaching funding method. We will also use them to inform our calculation of 2011-12 funding rates for use in determining the phase-out of funding for old regime students from 2012-13.

37. Paragraphs 39 to 46 of this annex consider the column and row headings in Table 4 and point to the guidance on assigning years of instance to the appropriate column and row.

38. Paragraphs 21 to 25 of Annex D contain more detail on Table 4 and the columns within it.

### **Column 1 or Column 2?**

39. Column 1 and Column 2 in Table 4 are the same as Column 1 and Column 2 in Tables 1, 2 and 3.

### **Mode of study**

40. The full-time, sandwich year-out and part-time column headings are consistent with those in Tables 1, 2 and 3 and are defined in Annex M.

### **Fundability status**

41. Island and overseas students are not included in Table 4. Annex K contains guidance on how to determine fundability status.

### **Price group(s)**

42. The price groups on Table 4 are the same as those on Tables 1, 2 and 3. Annex L contains guidance on how to assign a year of instance to the appropriate price group(s).

### **Level**

43. The levels of study on Table 4 are the same as those on Tables 1, 2 and 3 with the exception of 'FD' (foundation degree) and 'UG (excl. FD)' (undergraduates excluding foundation degree) which are aggregated into a single undergraduate level of study on Table 4, 'UG'. Annex N describes how to determine the level of study for a student.

### **Fee level**

44. Guidance on how to record years of instance in the appropriate fee level category can be found in Annex P.

### Things to note

45. In general, fee levels are an attribute of the year of the course, not of the individual student. See paragraph 2 of Annex P.

46. Most postgraduate and part-time undergraduate students should be recorded in the non-regulated fee level on Table 4. For guidance on which postgraduate and part-time undergraduate students can be recorded as being subject to regulated fees, see paragraphs 5 to 7 of Annex P.



## **How should I return years of instance on Table 5?**

47. Table 5 collects information about Home and EU students included within Columns 1 or 2 of Tables 1a, 2 and 3.

48. Paragraphs 50 to 56 of this annex consider the column and row headings in Table 5 and point to the guidance on how to assign years of instance to the appropriate column and row.

49. Paragraphs 26 to 34 of Annex D contain more detail on Table 5 and the columns within it.

### **Column 1**

50. In total, these data are the same as the Home and EU data returned in Columns 1 and 2 of Tables 1a, 2 and 3.

### **Column 2**

51. Column 2 should contain new entrants, and is a subset of the data contained in Column 1 of Table 5. 'New entrant' is defined in paragraph 34 of Annex D.

### **Column 3**

52. Column 3 should contain counts of years of instance franchised out, and is a subset of the data contained in Column 1 of Table 5. Guidance on what is treated as a franchise for HESES purposes can be found in paragraphs 6 to 13 of Annex F, and guidance on the completion of Column 3 of Table 5 can be found in paragraphs 30 and 31 of Annex D.

### **Mode of study**

53. The full-time, sandwich year-out and part-time column headings are consistent with those in Tables 1, 2 and 3 and these modes of study are defined in Annex M, but full-time and sandwich year-out are aggregated in Table 5.

### **Home/other split**

54. The Home and EU students recorded in Table 5 are split between Home students and 'others entitled to pay Home and EU fees'. Guidance on how to disaggregate Home and EU students into 'Home' and 'other' is in paragraph 26 of Annex D and depends on the DOMICILE field on the HESA student record.

### **Level**

55. Annex N describes how to determine the level of study for a student. However, undergraduate students are disaggregated into different groups compared to Tables 1 to 4. Guidance on how to disaggregate undergraduate students in Table 5 is in paragraph 27 of Annex D.

## **Fundability**

56. Island and overseas students are not included in Table 5. Annex K contains guidance on how to determine fundability status.

## **How should I return years of instance on Table 6?**

57. Table 6 collects information to monitor the student number control for 2011-12 and applies largely to full-time students only (as defined in Annex M), plus, depending on circumstances, others that switch mode to or from full-time during the year of instance. In broad terms, the student number control relates to students starting HEFCE-fundable or employer co-funded full-time undergraduate or PGCE study in the 2011-12 academic year. Paragraphs 20 to 31 of Annex H contain guidance on how to count years of instance in Table 6, including the definition of the population that will count towards the student number control limit.

58. Paragraphs 62 to 66 of this annex consider the column and row headings in Table 6 and point to the guidance on assigning years of instance to the appropriate column and row.

59. Paragraphs 35 to 38 of Annex D contain more detail on Table 6 and the columns within it.

### Things to note

60. Years of instance are counted in Table 6 in a different way to the other tables. Treatment differs between Table 6 and the other tables where students withdraw from their year of instance in the 2011-12 academic year or change mode of study during the year. Guidance on this is provided in paragraphs 26 to 28 of Annex H.

61. Not all years of instance counted in Table 6 will be for 'entrants' to the institution (as defined in Annex D, paragraph 34). This may be the case where, for example, students have previously studied part-time, or on programmes of study that were not fundable by HEFCE. Paragraphs 29 to 31 of Annex H provide guidance on this.

## **Column 1**

62. Columns 1(a) and 1(b) should contain years of instance starting between 1 August 2011 and 1 December 2011 inclusive, with the disaggregation between them depending on whether and when the student has withdrawn. Paragraph 36 of Annex D contains guidance on how to complete this column.

## **Column 2**

63. Column 2 should contain a forecast of years of instance starting after 1 December 2011 and before 1 August 2012. Paragraph 37 of Annex D contains guidance on how to complete this column.

### **Column 3**

64. Column 3 is calculated automatically within the workbook as the sum of Columns 1(a), 1(b) and 2.

### **Fundability**

65. 'Employer co-funded' applies to years of instance that are non-fundable on the basis that they are to count towards the delivery of HEFCE allocations of student numbers co-funded with employers – see paragraph 9b of Annex K.

### **Level**

66. 'UG' should contain undergraduates (including those on foundation degrees) as defined in Annex N. 'PGCE' should contain students starting on a Postgraduate/Professional Graduate Certificate in Education.

### **How should I return years of instance on Table 7?**

67. Table 7 collects information on forecasts of 2012-13 HEFCE-fundable and employer co-funded student counts and FTEs that institutions expect to report in Column 4 of Tables 1, 2 and 3 and Column 4a of Table 3 of HESES12.

68. Paragraphs 72 to 79 of this annex consider the column and row headings in Table 7 and point to the guidance on assigning years of instance to the appropriate column and row.

69. Paragraphs 39 to 46 of Annex D contain more detail on Table 7 and the columns within it.

### **Things to note**

70. Each column records completed years of instance and therefore excludes students who are non-completions, according to the definition in Annex I.

71. From 2012-13, we will not be making new allocations of funding separately for employer co-funded provision. New-regime students who are on programmes that in previous years were employer co-funded should be reported as HEFCE-fundable if they meet the definition in Annex K. Details can be found in paragraph 41 of Annex D.

### **Column 1**

72. Column 1 should contain a forecast of completed full-time years of instance, disaggregated into HEFCE-fundable and employer co-funded years of instance. See paragraph 43 of Annex D.

### **Column 2**

73. Column 2 should contain a forecast of completed sandwich year-out years of instance, disaggregated into HEFCE-fundable and employer co-funded years of instance. See paragraph 44 of Annex D.

### **Column 3**

74. Column 3 should contain a forecast of completed part-time years of instance, disaggregated into HEFCE-fundable and employer co-funded years of instance. See paragraph 45 of Annex D.

### **Column 3a**

75. Column 3a should contain a forecast of FTE of completed part-time years of instance, disaggregated into HEFCE-fundable and employer co-funded years of instance. See paragraph 46 of Annex D.

### **Fee and funding regime**

76. Each column of Table 7 is split between old-regime and new-regime students. Definitions of these categories are provided in Annex Q.

### **Mode of study**

77. Table 7 contains the forecast number of years of instance for all modes of study. Mode of study is defined in Annex M.

### **Price group**

78. The price groups on Table 7 are the same as those on Tables 1 to 4 (except that ITT(QTS) and INSET(QTS) are not included). Annex L contains guidance on how to assign students to the appropriate price group(s).

### **Level**

79. 'UG' should contain undergraduates (including those on foundation degrees) and 'PGT' should contain postgraduate taught students. Both are defined in Annex N. Postgraduate research students are not included.

## **What should I do when the tables have been completed?**

### **Validation and credibility checks**

80. Validation and credibility checks exist within the workbook to try to ensure that inconsistent and potentially erroneous data are not submitted. Paragraphs 3 to 10 of Annex E explain how validation and credibility checks are shown in the workbook and what to do if they highlight validation failures or warnings within the completed workbook. Appendices 2 and 4 provide detail on each check that is carried out.

### **Grant adjustment tables and related worksheets**

81. There are three worksheets (HBK, STD and F11) that relate to the estimated grant adjustment calculations for 2011-12. Institutions should check the figures shown

on these worksheets before uploading the completed workbook to the extranet, to ensure that any estimated grant adjustments are not the result of data error. Further information on these worksheets can be found in paragraphs 11 and 12 of Annex E and in Appendix 3.

### **Calculation of 2011-12 grant rates and notional funding worksheets**

82. There are a further two worksheets (MST and COF) which show the rates of funding that will be used to calculate the phase-out of mainstream and employer co-funded provision. They also give an early indication of the phase-out funding for 2012-13 before any scaling factor is incorporated. Further information on these worksheets can be found in paragraph 13 of Annex E and in Appendix 5.

### **Data verification**

83. When we receive the HESES11 returns, we will review the data and explanations for outstanding credibility checks. Further information on this data verification process can be found in paragraphs 18 to 20 of Annex E.

### **Sign-off of HESES11 data**

84. By 13 January 2012 the vice-chancellor or principal should sign off the institution's HESES11 data. Further guidance on the sign-off of HESES11 data can be found in paragraph 36 of the main guidance and paragraph 21 of Annex E.

## **Annex B Summary of changes and clarifications since HESES10**

### **Changes**

1. 'Advance notification of changes to HESES and HEIFES for 2011-12' (HEFCE Circular letter 17/2011) notified institutions of a number of changes intended for implementation in HESES11. The changes to be implemented in HESES11 are:

- a. The way students on non-standard years of study are recorded (those that span two academic years) is changing for Tables 1 to 5. In HESES10, these were recorded in the academic year in which the year of study ended. From HESES11 they should be recorded in the academic year in which the year of study begins. This change will make the recording of such students more consistent with Table 6. See Annex A of Circular letter 17/2011, paragraphs 12 to 13 of Annex D, and paragraphs 11 to 19 of Annex H.
- b. We will no longer disaggregate HEFCE-fundable students between HEFCE-funded and independently funded. The latter category has always been an optional one within HEFCE-fundable, used by institutions to help them avoid moving below the tolerance band. From 2010-11, we have suspended the conditions that apply to the lower limit of the tolerance band in order to accommodate student places allocated through the University Modernisation Fund. From 2012-13, we intend to calculate teaching funding, including for the phase-out of mainstream grant, for all HEFCE-fundable students. We do not therefore see a need to collect information separately on HEFCE-funded and independently funded students.
- c. Table 4 (the Home and EU fees table) is to be disaggregated between each of the different price groups. This will enable us to calculate more accurately average rates of 2011-12 HEFCE funding for each 'funding cell' (that is, a combination of price group x mode of study x level of study). See HEFCE Circular letter 17/2011 and paragraphs 21 to 25 of Annex D.
- d. A new Table 7 asks institutions to forecast the numbers of HEFCE-fundable countable years and full-time equivalents (FTEs) they expect to have in 2012-13 by price group, mode and level, and disaggregated between:
  - students that would be treated as continuing under the current fees and funding regime, and
  - students that would be treated for funding purposes as subject to the new fees and funding regime being introduced from 2012-13.

See Annex A of Circular letter 17/2011, paragraphs 39 to 46 of Annex D, and Annex Q. Institutions in Northern Ireland are not required to complete the new Table 7, nor (as last year) Table 6.

2. Since publication of HEFCE Circular letter 17/2011, we have revised the definition of an end-on course, which is used in determining whether a student is treated as

coming under the old or new fee and funding regime. This change has been made to ensure greater consistency with the Education (Student Support) Regulations 2011 (statutory instrument 2011 No. 1986). The revised definition is provided in Annex Q, paragraphs 11 and 12.

3. As announced in 2010 in paragraph 15 of HEFCE Circular letter 10/2010, 'Advance notification of changes to HESES and HEIFES for 2010-11 and later years', foundation years and other provision commonly referred to as 'Level 0', will be classed as part of a 'recognised HE course' only if they are an integrated part of a recognised HE qualification, such that:

- students are already registered for the recognised HE qualification at the same institution, and
- progression to the recognised HE qualification is guaranteed, subject to satisfactory completion of the foundation year.

See paragraphs 4 and 5 of Annex G.

4. The guidance on how to treat students who start an instance at a date different to the usual start date and who aim to catch up to the rest of the cohort has changed. In previous years, these students were treated as if they had joined with the rest of the cohort, so that the start date of the year of instance was the same as that for the rest of the cohort. This has been modified so that the start date for the year of instance is the actual date that the student started. See Example 3, paragraph 17 of Annex H. This change ensures greater alignment between HESES and the HESES re-creation based on HESA data.

## **Clarifications**

5. We have clarified that students aiming for a postgraduate research qualification are exempt from the equivalent or lower qualification policy. See sub-paragraph 17k of Annex K.

6. We have clarified the guidance that viva-voce examinations should not be treated as the final assessment for the purposes of determining completion status unless all students are required to undertake one. See paragraph 13 of Annex I.

7. We have clarified that students who switch mode from full-time to part-time as defined in paragraph 9 of Annex M, should have their completion status determined with reference to their revised study intentions. See paragraph 3 of Annex I.

8. We have clarified that, where a student's study intentions change partway through the year of instance due to being awarded accredited prior experiential learning (APEL) equivalent to one or more modules, the student's completion status should be judged against these revised study intentions. See paragraph 18 of Annex I.

## **Process changes**

9. We stated last year that we intended to create future HESES survey workbooks (including HESES11) in Excel 2007 format (file extension .xlsx). This will however not

be possible in time for the HESES11 survey, and therefore we will continue to use Excel 2003 format (file extension .xls).



## **Annex C Sample tables (Excel files)**

This annex shows samples of the tables which must be completed by institutions. The workbook containing the actual tables to be completed will be made available via the HEFCE extranet in November 2011.

This annex is available to download as an Excel file on the HEFCE web-site alongside this publication at [www.hefce.ac.uk/pubs](http://www.hefce.ac.uk/pubs).

## Annex D Table and column descriptions

1. This annex provides further information on the tables that must be completed and a description of the columns in each of these tables.
2. All numbers returned in all tables should be counts of years of instance **apart from** where FTEs are required in Columns 4a and 5a in Table 3 and Column 3a in Table 7.
3. The HESES11 workbook contains eight tables for completion: these are described in detail in this annex:

Name of worksheet	HESES11 tables
FTS	Table 1a – Full-time counts of years of instance
MED	Table 1b – Counts of years of instance for first registrable medical and dental qualifications for doctors and dentists (included in Table 1a)
OUT	Table 2 – Sandwich year-out counts of years of instance
PT	Table 3 – Part-time counts of years of instance and full-time equivalents (FTE)
FEE	Table 4 – Home and EU fees
HEC	Table 5 – Counts of years of instance split between Home and others entitled to pay Home and EU fees
SNC	Table 6 – Full-time years of instance counted towards the 2011-12 student number control
FOR	Table 7 - 2012-13 forecast of counts of HEFCE-fundable and employer co-funded years of instance and FTE

### Tables 1a, 2 and 3 – Counts of years of instance and student FTE

4. Tables 1a, 2 and 3 correspond to the three modes of study (full-time, sandwich year-out and part-time respectively) defined in Annex M. These tables are mutually exclusive, and taken together should sum to the total number of years of instance countable for the academic year.

### Table 1b – Counts of years of instance for first registrable medical and dental qualifications for doctors and dentists

5. Table 1b is a subset of Table 1a and contains all full-time undergraduate students on programmes of study that lead to a first registrable medical or dental qualification for doctors and dentists. Years of instance returned in this table should also be included in Table 1a.

6. Years of instance should be classified according to which year of the course they are. Intercalated years should not be returned in this table and should be disregarded when determining the year of instance of a medical or dental course. For HESES purposes, an intercalated year is defined as a year of study following a separate course from the main medical or dental course, which allows for the award of a BSc or BA before resumption of study towards the main qualification.
7. Pre-clinical medicine: all years of instance of a course leading to a first registrable medical qualification for doctors that are not classified as clinical medicine and are not an intercalated year.
8. Clinical medicine: the final three years of instance of a course leading to a first registrable medical qualification for doctors.
9. Pre-clinical dentistry: all years of instance of a course leading to a first registrable dental qualification for dentists that are not classified as clinical dentistry and are not an intercalated year.
10. Clinical dentistry: the final four years of instance of a course leading to a first registrable dental qualification for dentists.
11. The treatment of medical and dental students on HESES does not necessarily reflect how the programme is delivered.

**What should be included in each column in Tables 1, 2 and 3?**

12. Column 1: Number of years of instance countable between 1 August 2011 and 1 December 2011 inclusive. If the student has withdrawn from their year of instance on or before 1 December 2011, their year of instance should not be returned.
13. Column 2: Number of years of instance expected to become countable between 2 December 2011 and 31 July 2012 inclusive. Institutions should make sure that estimates included in this column are made on a reasonable basis, and that supporting evidence for the assumptions is kept for audit purposes. Column 2 should include those years of instance (including non-standard years) expected to start after 1 December 2011. Guidance on when years of instance become countable is given in Annex H.
14. Column 3: Number of years of instance included in Columns 1 and 2 which students will not complete. Students who intermit or are known to have non-completed on or before 1 December 2011 but who have not withdrawn by that date should still be included in Column 1 and in Column 3 as appropriate. Students who completed their year of instance, as defined in Annex I, but have subsequently withdrawn on or before 1 December 2011, should also still be included in Column 1 and should not be reported as a non-completion in Column 3. Numbers of non-completions should be entered as negative values in the workbook. Institutions should ensure that these estimates are supported by historical data.
15. Column 4: Overall estimated completed years of instance for the academic year. This is the sum of the first three columns; the addition will be carried out automatically in

the workbook. This is an estimate of the number of students whose activity is countable in the academic year and who will complete the year of instance.

16. Column 4a (Table 3 only): Estimated FTE for the academic year. This is the sum of the FTE for the years of instance returned in Column 4. Annex J gives further guidance on determining FTE for part-time courses.

17. Column 5 (Tables 1a, 2 and 3 only): Estimated completed years of instance that are to count towards the delivery of employer co-funded student number targets. Provision for students in Column 5 is non-fundable, by virtue of the criterion in subparagraph 9b of Annex K. Any students on courses that are co-funded by employers that are non-fundable by virtue of the other criteria in paragraph 9 of Annex K, other than paragraph 9h, should not be included in Column 5. Column 5 is a subset of the non-fundable years of instance recorded in Column 4.

18. Column 5a (Table 3 only): Estimated FTE (that is, the sum of the FTE) for the completed years of instance returned in Column 5. Column 5a is a subset of the non-fundable estimated FTE recorded in Column 4a.

19. Column 4 of Tables 1a and 2 and Column 4a of Table 3, HEFCE-fundable data, are used in our resource calculations and in monitoring against the FTE targets for funding conditional upon delivery of growth. They will also be used to inform the calculation of institutional rates of grant in 2011-12 which will inform the phase-out of mainstream teaching funding for old-regime students from 2012-13.

20. Column 5 of Tables 1a and 2 and Column 5a of Table 3 will be used to monitor achievement of employer co-funded student number targets. They will also be used to inform the calculation of institutional rates of grant in 2011-12 which will inform the phase-out of teaching funding for employer co-funded old-regime students from 2012-13.

#### **Table 4 – Home and EU fees**

21. The data returned in Table 4 must match the Home and EU data returned in Columns 1 and 2 of Tables 1, 2 and 3 for each price group. Table 4 contains the number of years of instance for all modes, split between those countable on or before 1 December 2011, and those expected to become countable between 2 December 2011 and 31 July 2012, for Home and EU students only. Island and overseas students should **not** be returned in Table 4.

22. Further information on how to record years of instance in the appropriate fee level category can be found in Annex P.

#### **What should be included in each column in Table 4?**

23. Column 1: Number of years of instance for Home and EU students countable between 1 August 2011 and 1 December 2011 inclusive. The column is broken down by mode of study as defined in Annex M.

24. Column 2: Forecast of number of years of instance for Home and EU students expected to become countable between 2 December 2011 and 31 July 2012 inclusive. The column is broken down by mode of study as defined in Annex M.

25. Data returned in Table 4 are used in the assumed resource calculations. They will also be used to inform the calculation of institutional rates of grant in 2011-12 which will inform the phase-out of mainstream teaching funding for old-regime students from 2012-13.

### **Table 5 – Counts of years of instance split between Home and others entitled to pay Home and EU fees**

26. The counts of years of instance in Table 5 are the same as the Home and EU counts collected in Columns 1 and 2 of Tables 1a, 2 and 3. Table 5 contains the number of years of instance for all modes, split between Home students and 'others entitled to pay Home and EU fees'. Home students are defined by the DOMICILE field on the HESA student record (that is, codes XF, XG, XH, XI and XK for England, Wales, Scotland, Northern Ireland and UK not otherwise specified, respectively). The data for 'others entitled to pay Home and EU fees', when added to the Home data, should give the totals of all Home and EU students returned in Columns 1 and 2 of Tables 1a, 2 and 3. Both HEFCE-fundable and non-fundable data are required in this table for each level, but not Island and overseas data.

27. The levels of qualification are grouped differently in this table than in the others. Those on foundation degree bridging courses should be included in 'Other UG degree'. Sub-degree (excluding HND) qualifications include HNCs, DipHEs, CertEds, DTLLS, institutional credits and professional qualifications.

#### **What should be included in each column in Table 5?**

28. Column 1: Years of instance countable between 1 August 2011 and 31 July 2012 inclusive. These data are split by mode, then between Home students and others entitled to pay Home and EU fees. 'Home students' is defined in paragraph 26 of this annex. In total, these data are the same as the Home and EU data returned in Columns 1 and 2 of Tables 1a, 2 and 3.

29. Column 2: New entrants included in Column 1 of this table, defined as the first countable year for an instance (see paragraph 34 of this annex). These data are split by mode, then between Home students and others entitled to pay Home and EU fees.

30. Column 3: Number of years of instance returned in Column 1 for students who are wholly or partially franchised out, broken down by the type of institution involved. The countable years of instance, and not the proportion of the year of study franchised, should be returned where the student is partially franchised out. 'Other inst' applies to provision that is franchised out to an institution that is not an HEI or FEC supported from public funds. Annex K, sub-paragraph 9f, explains that Home and EU students franchised to such other institutions may only be recorded as HEFCE-fundable where we have given specific approval; in the absence of our approval they should be

recorded as HEFCE non-fundable. This distinction between fundable and non-fundable students franchised to other institutions should be reflected in Table 5.

31. When determining whether a student is franchised out, the franchise arrangement for the year of instance and not the whole course should be used. For example, a student on a two-year course that is franchised out only for the whole of the first year would be returned as franchised out in the first year, and not included in the franchised-out column in the second year.

32. See Annex F, paragraphs 6 to 13, for more guidance on collaborative arrangements treated as franchises for HESES purposes.

33. Data returned in Table 5 are collected for planning and monitoring purposes, including those of the Department for Business, Innovation and Skills.

### **New entrants**

34. For Table 5, students should be classed as new entrants when they first generate a countable year for the instance. Students repeating the first year of a course should not be included as new entrants, whereas those entering directly into the second, or later, year of a course should be. Where students change courses they should only be included as new entrants where this is considered a change in instance – that is, a new commencement date is entered in the HESA student record. This differs from the treatment of students on Table 6.

### **Table 6 – Full-time years of instance counted towards the 2011-12 student number control**

35. Table 6 should contain all full-time years of instance that are counted towards the 2011-12 student number control. The information collected on this table is for a subset of the years of instances in the HESES11 population (as defined in Annex F). The subset collected on Table 6 differs from the subset collected on Tables 1 to 5. Years of instance meeting the criteria set out in paragraphs 20 to 31 of Annex H count towards the student number control that we have set for 2011-12 and should be included in Table 6.

### **What should be included in each column in Table 6?**

36. Column 1: Number of years of instance meeting the definition in paragraph 21 of Annex H, where these commenced between 1 August 2011 and 1 December 2011 inclusive. If the student withdrew from the instance within two weeks, the year of instance should not be included. This column is further disaggregated between:

- a. Column 1(a): Years of instance where the student is known to have withdrawn on or before 1 December 2011 (but after being active for two weeks of study or more).
- b. Column 1(b): Years of instance where the student was still active on 1 December 2011. The number reported should be reduced to take account of

students who, although active on that date, subsequently withdraw within two weeks of starting the year of instance.

37. Column 2: Number of years of instance meeting the definition in paragraph 21 of Annex H, where these are forecast to commence between 2 December 2011 and 31 July 2012 inclusive. These should be adjusted to exclude the forecast numbers of students who will withdraw from the instance within two weeks of starting.

38. Data returned in Table 6 will be used to monitor the student number control for 2011-12.

**Table 7 – 2012-13 forecast of counts of HEFCE-fundable and employer co-funded years of instance and FTE**

39. Data returned in Table 7 will be used to inform initial funding allocations for 2012-13 that will determine HEFCE grant payments between August 2012 and January 2013. All 2012-13 teaching grant allocations for all institutions will, however, be recalculated to reflect the student numbers reported in HESES12 Tables 1 to 3, and grant payments between April and July 2013 determined accordingly (including to correct any under- or over-payment made between August 2012 and January 2013). Further changes may subsequently be made in light of final HESA data for 2012-13.

40. The data returned in Table 7 are a forecast of the 2012-13 HEFCE-fundable and employer co-funded student counts and FTEs that the institution expects to report in Column 4 of Tables 1, 2 and 3 and Column 4a of Table 3 in HESES12. Table 7 therefore excludes students who are non-completions, according to the definition in Annex I. Table 7 contains the forecast number of years of instance for all modes, price groups and two levels (undergraduate, including foundation degrees, or postgraduate taught) split between 'old-regime' and 'new-regime' students, for HEFCE-fundable and employer co-funded students only. Island and overseas and non-fundable students (other than employer co-funded ones) should not be returned in Table 7. For the purposes of completing Table 7, institutions should assign activity to price groups according to the guidance in Annex L (the guidance that applies for 2011-12), rather than attempting to reflect any changes arising from the HESA review of cost centres for 2012-13.

41. From 2012-13, we will not be making new allocations of funding separately for employer co-funded provision. The funding provided for 2011-12 will therefore be phased out as continuing employer co-funded students leave. To implement this, old-regime students who are reported on Tables 1 to 3 as non-fundable on the basis that they are counting towards achievement of 2011-12 employer co-funded student number allocations, should, where forecast to continue into 2012-13, be reported separately as employer co-funded in Table 7. New-regime students who are on programmes that in previous years were employer co-funded should be recorded as HEFCE-fundable in Table 7 if they meet the definition of HEFCE-fundable in Annex K. This means, in particular, that the equivalent or lower qualification (ELQ) exemption for employer co-funded students will not apply to new-regime students; and any such Home and EU

students aiming for an ELQ, unless exempt for another reason, should be treated as non-fundable.

**What should be included in each column in Table 7?**

- 42. Each Column of Table 7 is split between old-regime and new-regime students. Guidance on these categories is provided in Annex Q.
- 43. Column 1: Forecast of completed HEFCE-fundable and employer co-funded full-time years of instance for the academic year 2012-13.
- 44. Column 2: Forecast of completed HEFCE-fundable and employer co-funded sandwich year-out years of instance for the academic year 2012-13.
- 45. Column 3: Forecast of completed HEFCE-fundable and employer co-funded part-time years of instance for the academic year 2012-13.
- 46. Column 3a: Forecast of FTE of completed HEFCE-fundable and employer co-funded part-time years of instance for the academic year 2012-13.



## Annex E When the tables have been completed

1. Completed workbooks must be uploaded to the HEFCE extranet no later than **noon on Friday 9 December 2011**. We will not give extensions to this deadline.
2. This annex explains data checks that the institution must undertake before uploading the completed workbook to the HEFCE extranet, and also data checks that we will carry out as part of the data verification process once we have received the completed workbook.

### Validation checks on Tables 1 to 7

3. Each worksheet contains a number of validation checks which ensure that incorrect data are not submitted. If an error or inconsistency is detected in a completed worksheet, a message reading **Validation: Failure (see below table)** will appear above the column in the table in which there is a validation failure, and the values in the cells which are causing the error will turn red. Below the table, the error will be described in more detail. These errors **must be corrected** before submitting the completed workbook: we will not accept workbooks containing validation failures. If the source of the error cannot be identified, institutions should e-mail us for advice at [heses@hefce.ac.uk](mailto:heses@hefce.ac.uk). The validation checks themselves are described in more detail in Appendix 2.

### Credibility checks

4. The data submitted in HESES11 will be used to determine grant adjustments for 2011-12 and initial grant allocations for 2012-13. As such it is important that the data submitted are accurate and suitable for this purpose.
5. The automatic checks that are included in the workbook are not exhaustive. Institutions are expected to conduct their own credibility checks to ensure the data are reasonable prior to submission.
6. The HESES11 workbook contains a series of credibility checks in the form of first stage credibility warnings on Tables 1 to 7 and automatic check highlighting on the comparison tables to help institutions check data credibility prior to submission. Where first stage credibility warnings or automatic check highlighting are shown, institutions should check that the data they have entered are correct and meet the guidance and definitions set out in the relevant section of the HESES11 publication.
7. Once the data have been submitted, we will use these checks and tables to assess if the data are reasonable. Institutions will be asked to explain any apparent anomalies, or correct data, before verifying the data are correct. This data verification process is described in more detail in paragraphs 18 to 20 of this annex.

### First stage credibility warnings on Tables 1 to 7

8. Each worksheet contains a number of first stage credibility warnings. These checks are intended to warn institutions that they have entered data which may be (but are not necessarily) erroneous. If potentially erroneous data are detected in a

completed worksheet, a message reading **First stage credibility: Warnings (see below table)** will appear above the column in the table in which there are potentially erroneous data. Below the table, the warning will be described in more detail. Completed workbooks that have first stage credibility warnings may be submitted; however, institutions must inform us of the reason(s) why the data are credible as described in paragraph 18 of this annex. If the source of the warning cannot be identified, institutions should e-mail us for advice at [heses@hefce.ac.uk](mailto:heses@hefce.ac.uk). The first stage credibility warnings are described in more detail in Appendix 4.

### **Automatic check highlighting on the comparison tables**

9. The workbook also incorporates a series of comparison tables within the COM1, COM2 and COM3 worksheets. These tables contain comparisons of the data submitted in HESES11 with data submitted in HESES10 and other sources. This information is provided to allow identification of any material changes in data which may indicate errors in the submission.

10. Automatic check highlighting will highlight (in yellow) data which may be (but are not necessarily) anomalous or represent a significant year-on-year change. Completed workbooks that have automatic check highlighting present may be submitted; however, institutions must inform us of the reason(s) why the data are credible as described in paragraph 18 of this annex. If the source of the highlighting cannot be identified, institutions should e-mail us for advice at [heses@hefce.ac.uk](mailto:heses@hefce.ac.uk). The automatic check highlighting and the comparison tables themselves are described in more detail in Appendix 4.

### **Grant adjustment tables and related worksheets**

11. In addition to the tables which must be completed in the HESES11 workbook (Tables 1 to 7, as described in Annex D), the following three worksheets relate to the estimated grant adjustment calculations for 2011-12:

<b>Name of worksheet</b>	<b>Content</b>
HBK	Estimated grant adjustments for 2011-12
STD	Recalculation of standard resource for 2011-12
F11	Recalculation of assumed fee income for 2011-12

12. Institutions should check the figures shown on these worksheets before uploading the completed workbook to the extranet to ensure that any estimated grant adjustments are not the result of data error. Any queries about estimated grant adjustments should be addressed to the relevant HEFCE higher education policy adviser (HEPA) in the first instance (contact details for HEPAs, searchable by institution, are at [www.hefce.ac.uk/aboutus/cop/contact/](http://www.hefce.ac.uk/aboutus/cop/contact/)). The three worksheets are described in more detail in Appendix 3.

## Calculation of 2011-12 grant rates and notional funding worksheets

13. A further two worksheets show the rates of funding that will be used to calculate the phase-out of:

- mainstream teaching funding (MST worksheet)
- funding for employer co-funded provision (COF worksheet).

These worksheets also show some initial funding allocations for 2012-13 for the phase-out before any scaling factor is incorporated, and can be used for modelling once the scaling factor has been confirmed in early 2012. These two worksheets are described in more detail in Appendix 5.

## Check list

14. In November 2011, heads of institutions and HESES contacts will be sent a check list for use before submission of the completed workbook. This check list will contain a series of self-check questions to which an institution must be able to answer 'yes' before uploading the completed workbook to the extranet.

## Uploading the workbook to the extranet

15. Heads of institutions and HESES contacts will be issued with an organisation key (unique to their institution) and a HESES11 group key (unique to the HESES11 survey) in November 2011 to enable access to the HESES11 workbook via the HEFCE extranet. Institutions will need to upload the completed workbook to the same web-site no later than **noon on Friday 9 December 2011**. In addition to the organisation and group keys, heads of institutions and HESES contacts will be issued with guidance on how to use the extranet.

16. The data do not need to be formally signed off by the vice-chancellor or principal at this stage. However, it is good practice for a senior member of the institution to agree the return prior to submission.

17. Where an institution fails to return data on time, or the returned data are not credible, we may base the allocation of funds on our own estimate of student activity. Institutions that do not submit credible data on time are more likely to be audited.

## Data verification

18. Where credibility warnings are present in the submitted workbook (either in the form of first stage credibility warnings on Tables 1 to 7 or automatic check highlighting on the comparison tables as described in paragraphs 9 to 10 of this annex) institutions must inform us of the reason(s) why the data are credible. An e-mail detailing why the data are credible should be sent to [dataverification@hefce.ac.uk](mailto:dataverification@hefce.ac.uk) by 9 December 2011. Such explanations will inform the subsequent data verification process as detailed below.

19. When we receive the HESES11 returns, we will review the data and e-mailed explanations for outstanding credibility warnings. During December, we will e-mail institutions, attaching their HESES data and the comparison and grant adjustment reports generated from them. Institutions will be asked to:

- verify that the data are accurate, or make corrections
- answer any questions we may have about the data and the explanations already provided
- submit any appeals against formulaic grant adjustments, such as holdback.

The timetable for this is tight: if corrections to data are made, we then reissue the data for re-verification by institutions and may ask further questions as appropriate. We expect institutions to answer any questions about data within five working days. We may refuse to revise allocations once data have been verified.

20. Verification checks will be carried out by a small team of data verification specialists at HEFCE. Any questions throughout the data verification process should be e-mailed to [dataverification@hefce.ac.uk](mailto:dataverification@hefce.ac.uk). This e-mail box will be checked by the data verification team, so e-mailing this address will ensure queries are dealt with as quickly as possible. To discuss the queries we raise, or the institution's data, please ring the contact named in the initial e-mail we will send that details our queries.

### **Sign-off of data**

21. By 13 January 2012, all institutions must have signed off their HESES data as being correct as at 1 December 2011. The data must be signed off by the head of the institution: they should have an understanding of our data collection requirements, to ensure that the institution has systems capable of producing an accurate, complete return and that the preparer of the return has compiled it competently. If it is anticipated that the head of the institution will be unavailable to sign off the data during the data verification period, institutions should e-mail [dataverification@hefce.ac.uk](mailto:dataverification@hefce.ac.uk) to agree interim arrangements. We will expect the head of the institution to sign off the data on their return. If an institution fails to meet the deadline for signing off data, or we believe the data to be inaccurate, we reserve the right to use our own estimates of data to inform funding allocations (see paragraph 18 of 'Model Financial Memorandum between HEFCE and institutions', HEFCE 2010/19). We cannot guarantee to increase grant allocations to reflect any amendments to data after 13 January 2012.

## Annex F The HESES11 student population

1. This annex defines an 'instance' and explains which student instances should, or should not, be included in the HESES11 student population (Annex H contains guidance on how to count years of instance for students in the HESES11 population). This annex also explains how to treat provision delivered through a collaborative arrangement in HESES.
2. HESES11 records counts of years of instance for students (regardless of age and whether or not the year of instance is being repeated) aiming for a recognised HE qualification. An instance is defined as a coherent engagement with the institution by a student aiming towards the award of a qualification(s) or credit. Paragraphs 3 and 4 of this annex define which student instances should be included in the HESES11 population. Some student instances within this population may generate countable years of instance which are counted in a previous or future HESES survey, but do not generate any years included in HESES11 (see Annex H for when to count activity). All years of instance counted in HESES11 must relate to a student instance within this population. How and when years of instance are counted varies between Table 6 and the other tables (see Annex H).
3. Student instances meeting **all** the following criteria should be included in the HESES11 student population:
  - a. At least part of a year of instance in which the student is actively pursuing studies with the institution falls within the academic year (1 August 2011 to 31 July 2012). This includes outgoing, but not incoming, exchange students.
  - b. The instance has a course aim of a recognised HE qualification, or an HE-level credit that can be counted towards such a qualification, as defined in Annex G.
  - c. The instance will be returned on the HESA individualised student record.
  - d. The instance is not being returned on any other institution's HESES or HEIFES return for that year of instance.
4. Student instances in **any** of the following categories should **not** be included in the HESES11 student population:
  - a. Instances where the course aim is not a recognised HE qualification, or an HE-level credit that can be counted towards such a qualification.
  - b. Instances where the sole course aim is a National Vocational Qualification (NVQ). However, instances should be included if they lead to both a recognised HE qualification and an NVQ.
  - c. Student instances that will not be included in the HESA individualised student record. All student instances included in the HESES11 student population must be included in the institution's HESA individualised student record, even if this is not normally compulsory under the coverage of the record.

- d. Instances for incoming exchange students.
- e. Instances where the student is franchised in from another institution (see paragraphs 6 to 13 of this annex).
- f. Instances where more than half of the active study time for the whole instance is spent outside the UK (including distance learners outside the UK), except where:
  - i. There is a clear academic reason for studying abroad rather than in the UK. Even where such a reason exists, we must specifically sanction the course as eligible.
  - ii. The student is temporarily and unavoidably abroad and remains liable to UK tax on their earnings, or is a dependant of such a person. This includes members of HM Forces and their dependants.

Instances for sandwich students working abroad and language year-abroad students should normally be included in the HESES11 student population, because the year abroad will not constitute most of the instance.

- g. If no year of instance for which the student is actively pursuing studies falls at least partly within the academic year 2011-12. For standard years of instance this means the student is not actively pursuing any studies within the year. This includes:
  - i. Instances where all years of instance falling in the year are entirely writing-up.
  - ii. Instances where the only activity is assessment. This includes students on TDA-funded Graduate Teacher Programmes or Overseas Trained Teacher Programmes where the programme consists only of a QTS assessment.

- h. Instances whose course aim is a research qualification awarded primarily on the basis of published works, unless the instance involves a significant amount of research at the institution.
- i. Instances for students who are on School-Centred Initial Teacher Training (SCITT) programmes.
- j. Instances that are being returned on any other institution's HESES or HEIFES return.

5. Graduate and undergraduate internships are also not part of the HESES11 population, because they are not programmes of study or (in the case of undergraduate internships) required elements of students' programmes of study. These periods of work experience do not, therefore, constitute (part of) a student instance.

## **Students taught under partnership, collaborative or similar arrangements**

6. Institutions should note that a student is considered to be 'registered' on the HESA student record at the institution that collects the fee for the student.
7. Many students are taught under a variety of collaborative arrangements. For the purposes of HESES11, years of instance that are taught under a partnership arrangement by an institution other than the one they are registered with are treated as franchised. Such franchise arrangements are different from validation arrangements:
  - a. Under a validation-only arrangement, a higher education institution provides assurance about the standards of a higher education qualification/award, but the student is, for all purposes, a student of the institution that provides the teaching and with whom they will be registered. The teaching institution, rather than the validating institution, is responsible for the quality of the teaching and for including the student as appropriate in data returns, including HESES/HEIFES.
  - b. Under a franchise arrangement, a student is taught under a sub-contractual arrangement by an institution other than the one they are registered with. Often, the franchiser will also be the validating institution, but this may not always be the case: for example, where one FEC franchises provision to another, but where the validating body is a university or Pearson Education Ltd (formerly Edexcel). Irrespective of which organisation is the validating body, under a franchise arrangement the student is treated as a student of the registering institution (the franchiser), rather than the teaching institution, and the franchiser is responsible for teaching quality and any data returns relating to the student. Industrial placements, work experience and language years abroad should not normally be regarded as franchised out for the purposes of HESES/HEIFES.
8. Paragraphs 9 to 13 of this annex explain who should return franchised activity to us. The 'HEFCE survey' referred to will be either:
  - a. HEIFES11 for FECs or
  - b. HESES11 for HEIs.
9. Where one institution collects a fee for tuition or supervision of research for a student, but the student undertakes all or part of their study at another institution, only the institution that receives the fee should include the student in its HEFCE survey student population. Such a student is regarded as franchised out by the institution collecting the fee.
10. If a course is run jointly by more than one institution, only the institution that receives the fee should include the student in its HEFCE survey student population.
11. If two institutions receive a fee from a student for a given year of instance, the institution that receives the largest portion should include the student in its HEFCE survey student population. If both institutions receive the same amount, the institutions

must ensure that only one of them includes the student in its HEFCE survey student population.

12. In some cases the institution teaching the student may collect the fee on behalf of another institution. Where this is the case, if the fee is transferred directly to another institution, the latter should include the student in its HEFCE survey student population. If the fee itself is not transferred but is used to offset payments between two institutions in respect of the student, this should be treated as if the fee had been transferred.

13. In all the above cases, the student is a student of the franchiser. The institution that includes the student in its HESES11 student population must also return a record to HESA, and its performance indicators and quality assessments will take account of activity relating to that student as appropriate.

## **Audit issues**

### **Collaborative arrangements**

14. Many institutions are involved in collaborative arrangements with other institutions, for example franchise arrangements with FECs. It is essential that the exchanges of information and communications between all the partners are frequent, timely, open and effective. In particular, we highlight the importance of the registering institution being told promptly by the partner institutions about any withdrawing students. This may require clear protocols among partner institutions regarding exchange of information.

15. The different roles of each partner in collecting and managing data will vary. However, the principle applied at audit is that student data should be managed with equal professionalism at all partner institutions. When entering into partnership arrangements, the systems in operation and the exchange of information should form part of the negotiations and final agreement. It is the responsibility of the registering institution to ensure the quality of all the data it returns, including that relating to activity at its partner institutions.

16. It is also important that students are returned on the HEFCE survey and the HESA student record and data service ILR by the registering institution only. Institutions' student record systems should clearly identify the students eligible to be returned by them, and should ensure that those not eligible are excluded. A registering institution's student record system should contain collaborative students' records in the same way as it does its 'own' students. This will help to ensure that collaborative students are correctly returned in HESES, and that an audit trail to such students is available.

17. Use of the registering institution's standard forms by partner institutions is strongly encouraged – for example for enrolment, module registration, interruption of studies, change of module, change of programme and withdrawal. This helps to identify clearly which institution a student belongs to, and is especially important where an institution deals with more than one partner institution. It also ensures that the registering institution is collecting all the data it requires for its own purposes.



**Inclusion in the return of students who have not fully registered**

18. Students who have not fully registered, and for whom there is no evidence of activity by the census date, should not be included within Column 1 of Tables 1 to 3 in the return. Students who have not fully registered by the census date, but for whom there is evidence of activity, may be included in Column 1 of Tables 1 to 3 of the return. However, efforts should be made to ensure that all eligible students are fully registered by the census date.

## **Annex G Recognised HE courses**

1. To be included in the HESES11 population and therefore potentially counted in HESES11, a student instance must have a course aim of a recognised HE qualification or an HE-level credit that can be counted towards such a qualification (see sub-paragraph 3b of Annex F). This annex contains further information on what can be classed as a recognised HE course.
2. Recognised HE courses are those defined in paragraph 1 of Schedule 6 of the Education Reform Act 1988. This includes any postgraduate or undergraduate degree, accredited HE diploma or certificate. Other courses leading to professional or vocational qualifications may be included if they are generally recognised as HE qualifications; this does not include NVQs.
3. Student instances that do not lead, upon successful completion, towards a recognised HE qualification, or HE-level credit that can be counted towards one, are excluded from the HESES11 student population.
4. Foundation years and other provision commonly referred to as 'Level 0', will be classed as part of a 'recognised HE course' only if they are an integrated part of a recognised HE qualification, such that:
  - a. Students are already registered for the recognised HE qualification at the same institution, and
  - b. Progression to the recognised HE qualification is guaranteed, subject to satisfactory completion of the foundation year.
5. Free-standing foundation years and other free-standing Level 0 provision are not recognised HE courses. The requirement that students are already registered for the recognised HE qualification at the same institution means that where teaching of the foundation year is undertaken by a different institution, this will be treated as integrated – and therefore within the HESES population – only if it is done under a franchise arrangement from the institution offering the recognised HE qualification.

## **Annex H Counting student activity**

1. This annex gives the definition of a year of instance and explains how to count them in HESES, which differs between Table 6 and all other tables. This includes the criteria for being able to count a year of instance in HESES, the definition of standard and non-standard years of instance, flow diagrams to aid with determining how a year of instance should be counted, and guidance on counting some short courses that are sometimes known as ‘summer schools’.

### **What is a year of instance?**

2. Students study towards qualifications over a period of time. This period can be split into one or more years of instance. The first year begins when the student starts studying towards the qualification; the second and subsequent years start on or near the anniversary of this date (to allow for minor variations in term dates). Paragraph 2 of Annex F defines an ‘instance’.

3. HESES counts years of instance for students aiming for recognised HE qualifications. This is not the same as counting students. This approach ensures that comparable activity is recorded in the same way, irrespective of when it occurs.

### **Further notes on years of instance**

4. Exceptionally, a student may study towards two or more independent qualifications at the same time. Each instance would then generate its own year of instance which would be countable. Thus, a student studying towards a PhD and an unrelated undergraduate professional qualification would generate two years of instance each year. However, a student studying for several institutional credits that can count towards the same final qualification would generate only one year of instance each year. Usually, independent instances would link to different course aims on the HESA student record.

5. Where students complete a foundation degree and then undertake a foundation degree bridging course to enable them to join the final year of an honours degree, the foundation degree bridging course should be treated as an independent course which will generate its own year of instance. However, it will not be a separate instance on the HESA record. See paragraphs 44 to 48 of this annex.

6. Where students are on the TDA’s Student Associates Scheme or a Subject Knowledge Enhancement short course, for HESES purposes they should not be seen as separate instances from the main programme of study. However in the HESA record they will be identified as separate instances.

7. In all cases where a student is studying for two or more separate and independent qualifications each should be returned as a separate instance on the HESA record. Guidance on when separate instances should be generated can be found at [www.hesa.ac.uk](http://www.hesa.ac.uk) under Data collection hub/Student Stream/C11051: Student Collection 2011/12/Year-on-year linkage (HIN).

## Counting years of instance

8. To be counted, years of instance must be generated by a student in the HESES11 student population, and meet all the following criteria:
- a. A fee is charged for tuition or supervision of research. Exceptionally, this fee may be waived for individual students based on their particular circumstances. It should not be waived for all students on a course, and the criteria which determine whether fees may be waived should not be tantamount to waiving the fee for all students.
  - b. The FTE for the year of instance is at least 0.03.
  - c. The student is not writing up a thesis or similar piece of work for the whole of the year of instance. Students are writing-up where they have completed their research work and will not undertake any significant additional research. It is common practice for such students to receive a small amount of supervision, and they may still have access to other facilities at the institution. However, such students should still be treated as writing-up.
9. In some cases a fee may not be charged in the current year because a fee for the activity has already been paid in a previous year. This would not be treated as a fee waiver. Rather the student should be treated as having been charged a fee for the year.

## Audit issue

### Written evidence of fee waivers

10. Where the fee has been waived for a student, written evidence of this must be retained.

## How to count years of instance in Tables 1 to 5 and 7

11. The guidance in paragraphs 12 to 18 of this annex applies to Tables 1 to 5 and 7 **only**. For guidance on how to count years of instance in Table 6, see paragraphs 20 to 31.
12. If the student has withdrawn from their year of instance on or before 1 December 2011, their year of instance should not be returned.
13. For students within the HESES11 student population, there are two types of year of instance: standard and non-standard.
- a. A standard year is one where all activity for the year of instance is entirely within one academic year (1 August to 31 July). Most undergraduate students are on standard years of instance.
  - b. A non-standard year is one where all activity for the year of instance is **not** entirely within one academic year – that is, the activity for the year of instance crosses from one academic year into the next.

Students whose years of instance are normally standard but in one year undertake a period of work experience should not be treated as non-standard solely because the work experience spans academic years.

14. In both cases, students become countable at the start of each year of instance. The FTE returned should be the FTE for the whole year of instance:

- a. For students on standard years of instance, the FTE for the whole year of instance will be the same as the FTE for the academic year.
- b. For students on non-standard years of instance, the FTE for the whole year of instance will not necessarily be the same as the FTE for the academic year. The final academic year during which the student is active will not usually generate a countable year of instance. It will do so, however, if a student undertakes a short period of activity after the anniversary of their commencement date and that activity ends in the same academic year.

#### **Example 1**

15. A student starts a degree programme on 21 September 2011, with each year of the course finishing at the end of June. The student becomes countable on 21 September 2011 and, depending on when the activity for the year starts, on or around the anniversary of this date each year.

#### **Example 2**

16. A full-time student starts a degree programme in January 2012 and the first year of the course finishes in November 2012. This student would be included in Column 2 of Tables 1 and 4 in HESES11 for their first year of instance.

#### **Example 3**

17. A full-time HND course starts on 5 October 2011 and runs from 5 October to 30 June each year. A student starts the HND programme late, on 7 December 2011, but intends to catch up with the rest of the students on the course and follow the same pattern of activity as them. That student's year of instance starts on 7 December 2011 and on the anniversary of that date in subsequent years. The student should be included in Column 2 of Tables 1 and 4.

#### **Example 4**

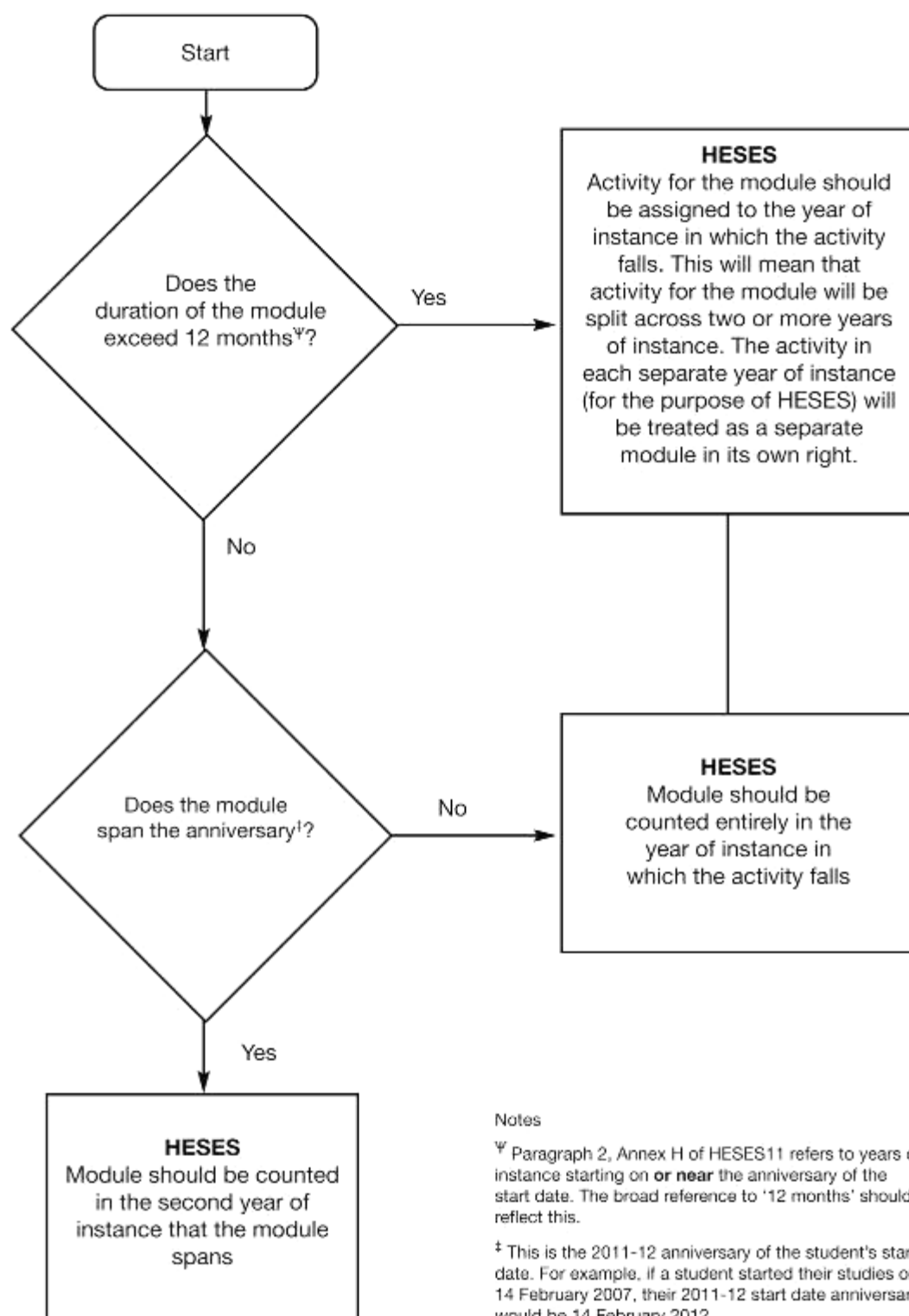
18. A full-time student starts in September 2011 intending to study eight modules before June 2012. At the end of the first semester in February 2012 they interrupt the course having completed four modules and return 12 months later to complete the remaining four modules by June 2013. The first year of instance becomes countable in September 2011 and is therefore returned in Column 1 of Table 1 of HESES11. The data entered in Column 3 of Table 1 of HESES11 should reflect a forecast of such students entered in Column 1 or 2 who will intermit (and therefore non-complete) after 1 December 2011. The second year of instance becomes countable at the start of the year of instance in September 2012 (and not in February 2013 when the student returns) and is therefore returned in Column 1 of Table 3 of HESES12 (as the activity in

this second year of instance does not meet the criteria to be classed as full-time as set out in paragraph 2 of Annex M).

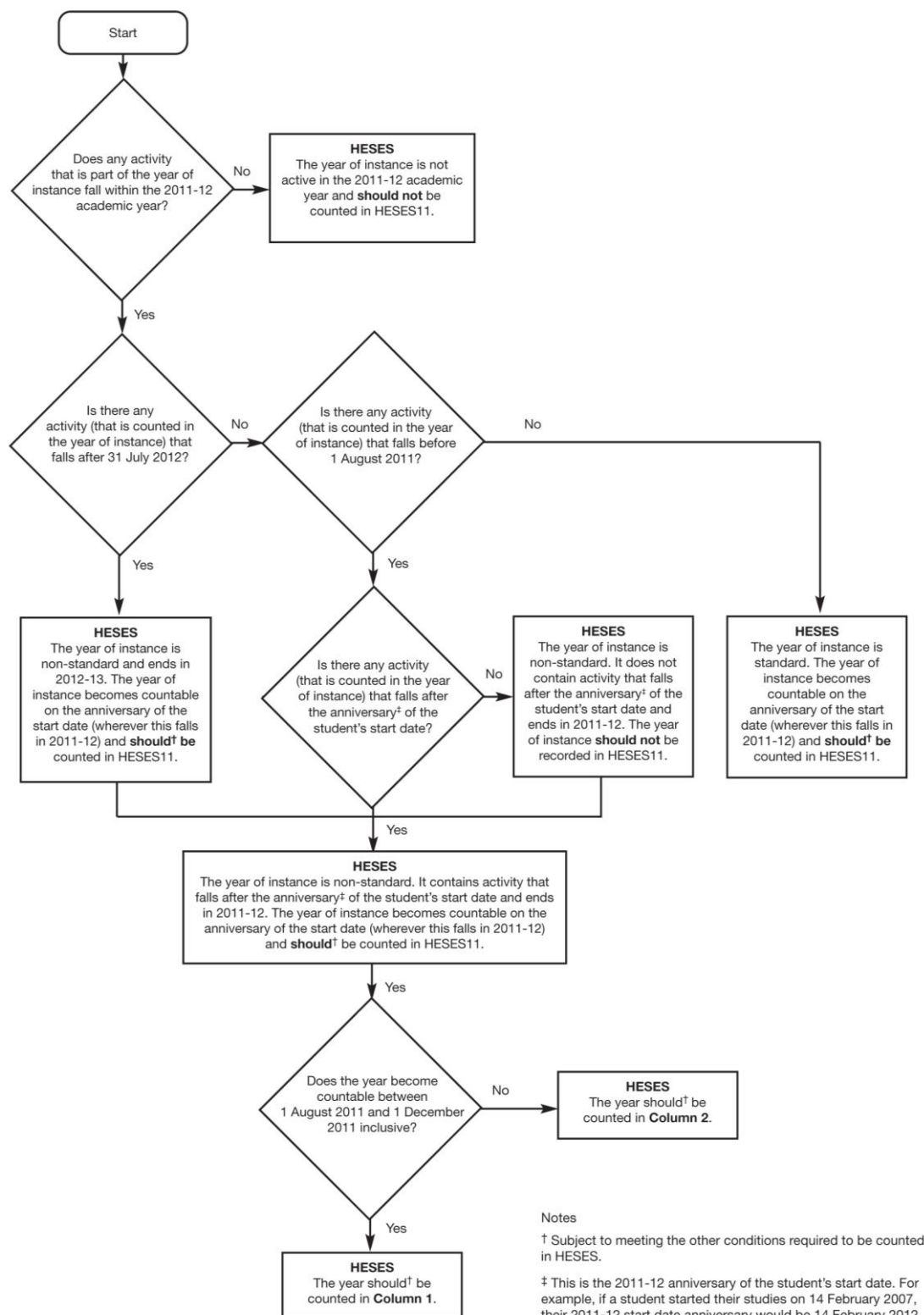
### **Assigning modules to years of instance**

19. If a module spans two years of instance then all activity for the module should be counted in the second year of instance in which the module occurs. Exceptionally, where the duration of the module is greater than 12 months, the activity for the module should be assigned to the year of instance in which the activity falls. This means that the module is countable across two or more years of instance. In such cases, and for HESES purposes only, the module activity in each year of instance will be treated as a separate module in its own right. The flow chart in Figure H1 can be used to determine which year of instance a module should be assigned to. The flow chart in Figure H2 can then be used to determine whether or not the year of instance should be counted in HESES11, and if so, whether it should be returned in Column 1 or 2.

**Figure H1: Flow diagram for assigning modules to a year of instance (applies only to Tables 1 to 5)**



**Figure H2: Flow diagram for determining whether year of instance should be returned in HESES11 and whether Column 1 or 2 in Tables 1 to 3**





## How to count years of instance in Table 6

20. The guidance in paragraphs 21 to 31 of this annex applies to Table 6 **only**. For guidance on how to count years of instance in other tables, see paragraphs 12 to 18 of this annex.

21. Table 6 collects information on a subset of the years of instances in the HESES11 population (as described in Annex F paragraphs 2 to 4). The subset counted in Table 6 differs from the subset counted in the other tables. Years of instance meeting the following criteria count towards the student number control that we have set for 2011-12, and should be included in Table 6:

a. Either:

i. They are for HEFCE-fundable or employer co-funded, full-time, undergraduate students active in the academic year 1 August 2011 to 31 July 2012.

and

The students have not been HEFCE-fundable or employer co-funded or 'model 2' Lifelong Learning Network (LLN) full-time, undergraduate students in either of the preceding two academic years (that is, between 1 August 2009 and 31 July 2011) as students of the same institution. These categories include students who have not completed their year of instance, but nevertheless meet the criteria in HESES11 Annex K paragraphs 7 to 9 to be HEFCE-fundable.

Or:

ii. They are for HEFCE-fundable or employer co-funded full-time students aiming for a PGCE (whether a Postgraduate or Professional Graduate Certificate in Education) commencing an instance in the academic year 1 August 2011 to 31 July 2012.

b. The students have not withdrawn from their instance within two weeks of starting; that is, they have undertaken sufficient activity to be required to be included in the HESA return.

22. Terms used in the definition of the student number control are:

a. **Employer co-funded:** This applies to years of instance that are HEFCE non-fundable on the basis that they are to count towards the delivery of HEFCE allocations of student numbers co-funded with employers (see sub-paragraph 9b of Annex K). This may include years of instance where students are aiming for an ELQ and who, were they not co-funded, would not be exempt from the ELQ policy as defined in Annex K, paragraphs 11 to 19.

b. **'Model 2' LLN students:** those who have counted towards the delivery of LLN allocations that have been funded through a lead institution outside the mainstream HEFCE teaching grant (and therefore been reported as non-fundable

in HESES) up to 2009-10. All LLNs have reverted to the mainstream 'model 1' route by 2010-11 and therefore students at all LLNs will generally be included within the definition of HEFCE-fundable from 2010-11; but some students at LLNs may have counted towards 'model 2' allocations in 2009-10.

c. **Students who have not been full-time undergraduates in the two preceding academic years:** students who, during each academic year 2009-10 and 2010-11, have not undertaken full-time undergraduate study; or if they have, withdrew (on each occasion) within two weeks of starting the instance; or were otherwise 'dormant' during that period. In this context, full-time relates to study that, had it been finished, would have been full-time.

d. **The same institution:** This refers to the 'registering' institution responsible for reporting the student in the HESA student record or the Data Service ILR. Where teaching has been franchised out, the associated (year of) instance is attributable to the franchiser, not the franchisee.

#### **Example 5**

23. A HEFCE-fundable student studied full-time for a foundation degree at an FEC in the academic years 2009-10 and 2010-11 and then topped up to a full-time bachelors degree at an HEI in 2011-12.

a. If the foundation degree was delivered by the FEC under a franchise arrangement from that HEI, then the student would be considered to be studying at the same institution (the HEI) throughout the period 2009-10 to 2011-12: they should not be included in Table 6.

b. If the foundation degree was not delivered under a franchise arrangement, but was funded directly at the FEC, then the student would be considered to be a student of the FEC for 2009-10 and 2010-11 and the HEI in 2011-12: because the study is not at the same institution, the top-up to the bachelors degree in 2011-12 should be included in Table 6. To the extent that these top-ups occurred in 2008-09, the limits that we have set for 2011-12 include them and therefore allow them to continue.

#### **Example 6**

24. A student commenced a HEFCE-fundable full-time undergraduate course in September 2010, having never been registered at the institution before. However due to illness the student withdrew from the course in December 2010 and returned in September 2011 to re-start the course.

a. The first year of instance (where the student withdrew) **will have counted** towards the 2010-11 student number control limit because the student was a full-time HEFCE-fundable student in academic year 2010-11 (even though they studied for less than 24 weeks) and therefore should have been included in Table 6 of HESES10.

b. The second year of instance **will not count** towards the 2011-12 student number control limit, because the student was a full-time student in the academic year preceding 2011-12, and therefore should not be returned in Table 6 of HESES11.

### Example 7

25. A student commenced a HEFCE-fundable, full-time, undergraduate bachelors degree course in September 2008 which concluded in June 2011. The student then commences a HEFCE-fundable, full-time, PGCE at the same institution in September 2011. The year of instance commencing in September 2011 **will count** towards the 2011-12 student number control (regardless of any previous study at the same institution) as the student is commencing a HEFCE-fundable, full-time, PGCE in the 2011-12 academic year, and should therefore be returned in Table 6 of HESES11.

### How years of instance counted on Table 6 differ from other tables

26. Table 6 counts years of instance differently to the other tables. This means that some years of instance counted in Table 6 in HESES11 may not be counted on the other tables. This can occur where students withdraw from their year of instance before 1 December 2011.

27. If a student commences a year of instance that meets the criteria to be included in Table 6 of HESES11 (as set out in paragraph 21 of this annex) but switches to part-time study during this year of instance then, unless the mode switch occurred within two weeks of their year of instance's commencement, this year of instance **will count** towards the 2011-12 student number control limit and therefore it should be included in Table 6 of HESES11.

28. If instead a student commences a part-time year of instance that, if it were full-time, would meet the criteria to be included in Table 6 of HESES11 (as set out in paragraph 21 of this annex) and the student switches to full-time study during this year of instance, then:

- a. If the switch to full-time study has not occurred early enough in the year for the whole year of instance to meet the definition of full-time (as per the definition in Annex M), this year of instance **will not count** towards the 2011-12 student number control limit and therefore it should be excluded from Table 6 HESES11. However, if the student continues their full-time study into 2012-13, they may then count towards the 2012-13 student number control limit and be included in Table 6 of HESES12 (because their study in the previous academic year will have been treated as part-time).
- b. If the switch to full-time study occurred early enough in the year of instance for it to be instead classed as full-time for the entire year of instance (as per the definition in Annex M), this year of instance **will count** towards the 2011-12 student number control limit and therefore it should be included in Table 6 of HESES11.

29. Not all students included in the limit will be 'entrants' to the institution (as defined in Annex D paragraph 34). This will include: students who have previously studied part-time; students on programmes of study that were not fundable by HEFCE, such as those funded by the NHS or the TDA; and students who have previously studied full-time but have taken two or more years out.

### Example 8

30. A student commenced a HEFCE-fundable, full-time, undergraduate bachelors degree course in September 2010, having never been registered at the institution before. For the first year of instance, the student is classed as non-fundable because they are aiming for an ELQ and are not exempt from the ELQ policy. At the start of the second year of instance in September 2011 they change their stated qualification aim solely to a foundation degree (having decided not to study for the bachelors degree). They are therefore exempt from the ELQ policy, and as a result now classed as HEFCE-fundable. The second year of instance will count towards the 2011-12 student number control limit because the student was not classed as HEFCE-fundable in the 2010-11 academic year, and therefore it should be included in Table 6 of HESES11.

### Example 9

31. A student commenced a HEFCE-fundable part-time undergraduate course in September 2010, having never been registered at the institution before. However at the beginning of the second year of instance in September 2011 they switched to studying this course full-time. The second year of instance **will count** towards the 2011-12 student number control limit because the student was not studying full-time in the 2010-11 academic year and therefore it should be included in Table 6 of HESES11.

## Guidance on filling in the HESA student record

32. Data returned on the HESA record mainly relate to the HESA reporting year and are not disaggregated across years of instance. To allow institutions to return accurate data on activity within years of instance, four fields – INSTAPP, LOADYRA, LOADYRB and MODYR – are included on the HESA record. The latter three fields are optional. For monitoring purposes, where institutions do not complete these fields, we will use the following assumption or approximation. Where a student is active for the whole academic year, we will assume that the FTE for the year of instance is broadly comparable to the FTE for the academic year. Where the student is not active for the whole year, we will make an approximation based on the current year and the FTE of similar final-year students from the current year. Full details of this process can be found in Appendix 1. Institutions should, where possible, avoid making an approximation of activity for the year of instance.

## Audit issue

### Students incorrectly recorded more than once on the HESES return

33. The student record system should be reviewed before data are extracted for the return, to check for duplicate records. This should be normal practice throughout the year, particularly when new student records are being set up on the system. There may, exceptionally, be genuine reasons why a student has two records, and these reasons

need to be established. Where it is not correct for a student to have two records, the student record system should be amended at the earliest opportunity.

34. Part-time students are sometimes incorrectly counted as more than one headcount for different modules within the same instance being studied. It is important that if students are only on one instance they should only have one headcount in the return. Processes should be designed to ensure that this is the case. This tends to be particularly relevant to continuing education students.

## **Summer schools**

35. Four types of short course are sometimes referred to as 'summer schools'. They are described in more detail below.

### **Summer schools for potential HE students**

36. These are intended for potential HE students to experience a short period of study in an HE environment normally in the summer vacation. Such students are not included in the HESES population because the provision is not HE level.

### **Access provision**

37. In some cases, institutions offer short preparatory or access courses for individual students to facilitate progression to an initial HE qualification. These courses are taken immediately before the start of their HE qualification. Where such provision is an integral part of an HE-level course, the students are included in the HESES population. See paragraphs 4 and 5 of Annex G for when such provision is considered integrated. The short access course and the first year of the HE course will typically count as one year of instance. This may result in the year of instance being counted as long, as defined in Annex O.

38. For the access course to count as integrated we require that the student is registered at the same institution for the access course and HE-level course.

39. If the access provision is not an integrated part of the HE-level course, it is not HE level and the students are not part of the HESES population.

### **Within-course periods of study in vacation time**

40. These are within-course short periods of study which generally take place in vacation time, and are normally for students to catch up with others on the course. They are usually between the normal periods of activity for years of instance but within a course. They are counted as part of the preceding year of instance and may result in that year of instance being counted as long, as defined in Annex O.

41. Where the short period of study occurs during the summer vacation, this may cause students who would normally be following standard years of instance to generate a non-standard year for the year that includes the short period. However, for data collection purposes they should be treated as standard years of instance.

**Example 10**

42. A student studies full-time for a degree over three years, with activity for each year of instance running from October to July. Between the second and third years, a short period of study, running from 25 July to 5 September, is undertaken to bring the student up to the standard of others on the course. This short period of study counts as part of the second year of the degree, and the second year of instance counts as a standard year of instance. The year of instance would only be counted as long if it fitted the criteria to be long, given in Annex O.

43. Such short periods of study should be returned on the HESA student record in the same way they are returned on HESES. That is, they should be included as part of the year of instance preceding the short period of study.

**Foundation degree bridging courses**

44. These are courses which come after a foundation degree has been completed, but before the final year of an honours degree course. They are short courses which are not an integral part of the course from which they are bridging. Progression is assured from successful completion of a foundation degree bridging course to the final year of an honours degree. For the purposes of HESES, such a course is counted as a separate year of instance and is returned as part-time with an FTE of 0.3. If the bridging course spans two academic years, it should be recorded in the academic year in which the bridging course ends.

45. Where a student is studying a foundation degree bridging course, the FTE recorded in the STULOAD field on the HESA student record should be increased to reflect this. Where the bridging course spans academic years, the FTE should all be returned in the second academic year; this differs from the method used for other non-standard years of instance. Institutions should also indicate in the BRIDGE field that the student has studied a foundation degree bridging course in the year in which the FTE is increased. It may be that the inclusion of a foundation degree bridging course would mean that the year of instance becomes non-standard. However, where the year would otherwise have been recorded as a standard year of instance, it should still be recorded as such.

**Example 11**

46. A student completes a foundation degree in June 2011, then undertakes a bridging course from July to September, and then joins the final year of a degree which they complete in June 2012 (see table below).

Field	July 2011	July 2012
COURSEAIM	J10	H00
STULOAD	100	130
TYPEYR	1	1
BRIDGE	0	1

47. Where a student's only activity during the academic year is a foundation degree bridging course, the COURSEAIM field should be returned with a value of H90, I90 or J90 depending on the level of credit awarded for the bridging course (that is, when a student withdraws during or following completion of the course, or where they transfer in from another institution before starting the course).

48. Where a student undertakes a foundation degree and starts a bridging course in the same academic year, but the bridging course is counted in the next academic year, the FUNDCOMP field should reflect whether the student completed the foundation degree and will therefore usually be returned with a value of 1. If the bridging course does not continue into the next academic year, the BRIDGE field should be coded as 1 and the FUNDCOMP field should reflect whether the student completed the bridging course. Similarly, where the student progresses to a degree after completion of the bridging course, FUNDCOMP should reflect the completion status of the year of instance of the degree.

## **Annex I Completion and non-completion**

1. This annex explains how to determine the completion status of a year of instance. It includes a number of examples and issues found by our auditors.

2. Completion is defined in terms of modular programmes of study. It applies to all institutions, including those that may not consider their programmes to be modular. For HESES purposes a module is taken to mean a discrete component within a programme of study, sometimes referred to as a unit, course or option. Where a student is studying a number of modules that can all count towards the same qualification, this should be treated as a single instance.

3. Where a student has a clear intention of completing a specified activity within the year of instance, completion is measured against this intention. Therefore institutions should collect information on students' study intentions for the year so that completion status can be assessed appropriately. A student who fails to complete any module counted in the year of instance is to be returned as a non-completion for all activity in that year. Thus, if a student starts the year intending to follow a certain pattern of activity but does not complete all of it, then that student would be a non-completion. However, if a student formally switches mode from full-time to part-time as defined in paragraph 9 of Annex M, their completion status should be determined with reference to their revised study intentions. If the pattern of activity within the year is not specified, then, provided that the student completes all activity countable in the year, they would be considered as completing. An exception is allowed for full-time students where the module is in addition to the standard requirements for full-time study. In this case, a student who completes the number of modules normally required in the year for full-time study may be treated as a completion for the year of instance, even if they fail to complete other modules in the year that are in addition to the standard requirement.

4. Within overall study intentions students may substitute modules without affecting their completion status. In order to be counted as substitute modules:

a. The total number of credit points in the substituted module(s) would need to be greater than or equal to that of the original module(s).

and

b. Either the fees charged will need to remain the same (this will commonly be the case for full-time students), or the entire fee for the original module(s) would need to be refunded and a separate fee charged for the substitute module(s).

5. In order to be counted as a completion (and thus be included in Column 4 of Tables 1, 2 or 3), a student must complete all the modules they intended to complete in the year of instance within 13 calendar months of the start of the year of instance: that is to say within 13 calendar months of the anniversary of their commencement date that defines the start of the year of instance. In order to complete a module, the student must either:



a. Undergo the final assessment of the module (this refers to the activity of the student in sitting an exam or submitting coursework rather than the activity of an assessment board in assessing the achievement of the student)

or

b. Pass the module, where this can be achieved without undergoing the final assessment because they already have enough marks in that module to be awarded credit for it. In some cases institutional regulations allow credit to be given because of the level attained in other modules; this would not be treated as completion for funding purposes, even though the institution may allow the student to progress.

#### **Example 1**

6. A standard year of instance commences on 28 September 2011. Final assessment (which may be either an examination or submission of a final piece of coursework) for a particular module counted within the year of instance takes place in June 2012, with an opportunity to resit/resubmit in September 2012. The student does not take the assessment in June 2012 (for whatever reason and without necessarily agreeing this in advance), but does so for the first time at the resit/resubmission opportunity in September 2012. The module would be treated as completed, because the assessment was taken within 13 calendar months of the 28 September 2011 start of the year of instance.

#### **Example 2**

7. A standard year of instance commences on 28 September 2011. Final assessment for a particular module counted within the year of instance takes place only in June each year. The student does not take the assessment in June 2012 (for whatever reason) and has not otherwise passed the module, but does take the assessment at the next opportunity in June 2013. The module would be treated as not completed, because the assessment was not taken within 13 calendar months of 28 September 2011, the start of the year of instance. This would be the case whether or not the student had been given permission to defer their assessment for a year.

#### **Example 3**

8. A student studies for eight modules in a year of instance. They undergo the final assessments in seven modules, but do not undergo the final assessment in one, on the basis that they know that they have already passed the module, based on the marks already achieved in that module. In this case, the student would be treated as a completion, because they underwent the final assessments in seven modules and passed the remaining module, where it was possible to pass without undergoing the final assessment.

#### **Example 4**

9. A student studies for eight modules in a year of instance. They undergo the final assessments for all modules, but in one module their performance is insufficient to meet

the academic standards required to pass that module. Nevertheless the institution's academic regulations relating to progression allow credit to be awarded for the one failed module on the basis of the student's overall performance across all modules studied in the year. In this case, the student would be treated as a completion, because they underwent the final assessments in all modules. The fact that credit was awarded for a module that was failed is not relevant in determining the student's completion status.

#### **Example 5**

10. A student studies for eight modules in a year of instance. They undergo the final assessments for seven modules, but do not undergo the final assessment in one, with the consequence that they do not have enough marks in that module to be awarded credit for it. Whether or not the institution's academic regulations relating to progression allow credit to be awarded for the one incomplete module on the basis of the student's overall performance across all modules studied in the year, the student would be treated as a non-completion for funding purposes for all activity in the year, because they did not undergo the final assessment in a module. The fact that credit was awarded for the module under the institution's academic regulations on the basis of the student's overall performance across the year of instance is not sufficient to meet the completion definition.

#### **Example 6**

11. A full-time student has a clear intention of studying for eight modules in a year of instance. Their intention initially was to include one particular module (A), but although they started the module they decide to switch to a different module (B) of equal value. The completion status for the instance then depends on completion of module B (rather than module A), together with the other seven modules taken by the student.

#### **Example 7**

12. A full-time student starts in September intending to study eight modules within a year of instance. At the end of the first semester they interrupt the course having completed four modules and return 12 months later to complete the remaining four modules. The student would be a full-time non-completion for the first year of instance, because they did not complete four of the modules that they intended to take within the year of instance. They will be a completion for the second year of instance although this will normally be part-time because they will not normally meet the attendance requirements to be full-time.

13. For the purposes of determining completion, the final assessment is the one that has its first occurrence on the latest normal due date: that is, the timing of re-sits and coursework extensions should be disregarded. Whether an assessment is considered the final assessment does not depend on the weight associated with it. For example, if a module is assessed by an exam which accounts for 90 per cent of the marks and the remainder via coursework, with the coursework due after the exam (and not solely by virtue of an extension having been granted), completion should be determined by

submission of the coursework rather than attendance at the exam. Where two assessments fall due on the same day and these are the last assessments for the module, undergoing either would constitute completion. A viva-voce examination should not be treated as the final assessment unless all students are required to undertake it.

14. In some cases, a year of instance which counts towards a qualification taken over several years may not contain any formal assessment, for example where assessment will take place at the end of a later year. In this case, where there is no such assessment opportunity within 13 calendar months of the start of the year of instance, then continued attendance throughout the year of instance would constitute completion. Institutions should therefore ensure that adequate evidence of attendance exists, such as class registers.

15. When a student undertakes a module that can lead to a qualification or institutional credit, but does not undergo assessment for that module, in general that student will be treated as a non-completion for all their activity in the year. This applies where assessment is optional (for example on open programmes, including continuing education provision). However, an exception is allowed where the student has entered into a binding and irreversible commitment before the commencement of that module that they will not undergo assessment for it. In this case, the module would not be reported at all in HESES, and the completion status of the student would not be affected by their completion or non-completion of the unassessed module.

16. Where the pattern of activity within the year is not specified, students will occasionally register for modules and subsequently withdraw before the start of the module. Provided the fee for this module is refunded in full, the module would not be reported at all in HESES and the module may be disregarded in determining completion and FTE. Full-time students will not fall into this category as it will not be possible to refund the fee while retaining the full-time fee status of the student.

17. In some cases a student may undertake a module more than once within a year of instance. In determining completion status, institutions must ensure that the module is counted only once. Where the module has been completed on one or more occasions and has also been non-completed, the completion should be counted for determining completion and FTE, and the non-completion of the module ignored. Exceptionally a student may take a module in two years of instance and complete the module for the second year of instance within 13 months of the start of the first year of instance. In this case the institution may count the module in either but not both of the years.

18. Where a student's study intentions change part way through the year of instance due to being awarded accredited prior experiential learning (APEL) equivalent to one or more modules, the student's completion status should be judged against these revised study intentions. In some cases the reduced study intentions might mean that the student no longer meets the attendance requirements to be full-time. Provided the student meets the requirements to be treated as a mode switcher (see paragraph 9, Annex M) they should be treated as a part-time student with completion judged against their revised study intentions.

**Example 8**

19. A part-time student on a standard year of instance begins a module in October, but withdraws from it after undertaking some activity and before completing the final assessment. The following February (within the same year of instance) the student retakes the module and completes it. The first attempt at the module from October would not be reported at all in HESES and should be disregarded in determining the completion status for the year of instance.

**Example 9**

20. A full-time student on a standard year of instance has a clear intention of completing eight modules within the year. One particular module that they start in the first semester is not completed, but the student retakes the module again in the second semester in place of another one, and completes it. Overall, in the first semester, the student completed three modules and began a fourth, which was not completed, and would not be reported in HESES and which is disregarded for the purposes of determining completion status; in the second semester, the student completed four modules, one of which was a second attempt at the module that was not completed in the first semester. In this case, the year of instance would be a non-completion, because the student completed only seven modules, rather than their overall study intention of eight.

21. In completing the HESA record, some students may still have opportunities after 31 July to submit to the final exam within the 13 months from the start of their year of instance. Wherever possible, institutions should seek to update their HESA record to reflect the latest known completion status of the student. In doing so, institutions will need to have due regard to HESA's data collection timescales and the need to ensure high-quality returns. We may seek further information from institutions that have high numbers of students with undetermined completion status. Students should only be recorded with undetermined completion status where an opportunity still exists for the student to undergo the final assessment within 13 months. They should not be treated as undetermined completion status simply because the 13 months has not fully elapsed.

**Partial completion weighting**

22. Where students are reported as non-completions their activity may still count towards the partial completion weighting in our funding method if it amounts to at least one-sixth of an FTE.

**Estimates of non-completions and historical data**

23. Institutions should ensure that estimates of non-completion are supported by historical data. Any historical data used in this way should not be skewed by exceptional circumstances such as industrial action affecting exams. Where such exceptional circumstances occur, institutions should ensure that the completion status of students on the HESA record accurately reflects their actual completion status.

## **Audit issues**

### **Estimation of non-completions**

24. The audits identified a common misconception that withdrawals notified from an academic department are the sole source of data for that department's non-completion estimate. Estimates of the number of non-completions should normally be based on the non-completion rate for the previous year for the particular course. Where this is not the case, there should be a clear rationale for any alternative methods used or adjustments made. Where the non-completion rate used in the return differs significantly from past data, there should be a clear rationale for the change. We found cases where institutions were using rates significantly lower than evidence from both their own data and audit, with no reasoning behind this.

25. In some institutions, the continued recording of a student as current on the student record system at an arbitrary date, for example, 1 May or 31 July, is being taken as a proxy for assessing the student completion status for the year. This is not a correct approach.

26. Another misconception is that the completion status of a student should be determined by the institution's individual academic regulations and rules on student progression, and not in accordance with the funding rules for assessment of a student's completion status. Incorrect application of the FUNDCOMP status to student records returned in institutions' HESA returns has produced incorrect data on which subsequent HESES return forecasts have been based.

27. In using the previous year's non-completion rate for a course as the basis of the current year estimate, it is important to make sure that the non-completion rate for the previous year is accurately known. We found examples where this has not been the case. Non-completion status should be recorded for the year of instance. Continuation of study to the following year should not be taken as evidence of, or a proxy for, completion in the previous year. In addition, simply because a student has not formally withdrawn from the institution by the year-end does not make the student a completion. Completion must be assessed by reference to submission of the final assessment, or otherwise passing, all modules the student intended to complete at the outset of their year of study.

28. Institutions may also find it useful to demonstrate the validity of their non-completion estimates by analysing the non-completion rates for different courses over, say, three to five years. This would help to identify trends, and years where the result is atypical compared with the trend.

29. A review of the outturn compared with the estimate should be made at the year-end, and reasons sought for any discrepancies. This knowledge can then be used to inform the estimate for the following year.

30. Non-completions should be reported in a timely fashion, and the student record system updated to reflect the student's change in status. Systems should be in place throughout the year to enable identification of students who are missing from or

struggling with the course, and steps taken to try to retain them at the institution. Reconciliations should be made with the student record system to ensure that it is up to date and accurately reflects what is being reported elsewhere. We found examples where additional students were on mark sheets but not on the student record system. There were also cases where students had clearly withdrawn, but their records had not been amended on the student record system.

31. Students' records not being updated in a timely fashion has led to their being included in the return when they had already left the institution by the census date.

32. Sufficient data should be recorded at the module level on the main student record system to allow accurate assessment of a student's completion status. This should include, but not necessarily be limited to, identification of the final assessment and the student's submission to it, and the overall outcome for the module. Coding should distinguish between non-submission to an assessment and a very low mark for poor academic performance or misconduct. This level of detail should be readily available to ensure accurate reporting of a student's completion status.

33. In the HESA data, the MODOUT status (module outcome field) of a module should be completed in accordance with these funding rules. The FUNDCOMP status of a student should in turn reflect the overall position of the whole student record for the year.

34. Exception reports should be used to establish whether unlikely combinations of MODOUT and FUNDCOMP status are being reported, so that corrections can be made before data are submitted.

35. It is essential that HESA data, the outturn position for the year, are correct, to enable accurate forecasts of non-completion rates in the following year's HESES return. We consistently find issues with both MODOUT and FUNDCOMP, which are leading to under-reporting of non-completions in subsequent HESES returns.

#### **Assessment of headcount and completion status for part-time students**

36. Sometimes, both headcount and completion status of part-time students, particularly those on continuing education courses, are based incorrectly on an individual module extract which does not take into account that a student may be taking more than one module during the year. This will inflate the headcount and may inflate the number of completions as the completion status is judged on a single module rather than an assessment of all modules undertaken by an individual student within the year.

## **Annex J Full-time equivalence for part-time years of instance**

1. This annex explains how full-time equivalence for part-time years of instance should be calculated. This includes guidance on how to treat students who are exempt from part of a course and full-time students who change mode within the year of instance to become part-time students.
2. Student FTE recorded on HESES11 should relate to the years of instance being counted. In some cases this may not be consistent with the FTE returned on the HESA student record. However, it should be consistent with HESA data when summed over the instance.
3. The FTE for a part-time course is calculated by comparison with an equivalent full-time course, where such a course exists. If an equivalent full-time course does not exist, a reasonable academic judgement should be made of the FTE relative to a full-time student. Where such a judgement is made, the rationale should be recorded for audit purposes.
4. Calculation of the FTE can be based on either:
  - a. Duration of the course, or
  - b. Credit points studied.

In both cases, when viewed as a whole, the total FTE for a part-time course should equal the total FTE of the equivalent full-time course. Where duration of the course is used, the calculation should be based on the number of years of instance. Where a student repeats a year or enters the second, or later, year of the course directly, the total FTE returned for that student should be increased or decreased to reflect this (see example 3 (paragraph 11) in this annex).

5. Accredited prior learning (APL) modules should be excluded from the calculation of the FTE. A student may be on a full-time programme but due to APL may be studying only at a part-time rate.
6. The FTE for a foundation degree bridging course, as defined in Annex H, paragraphs 44 and 45, is 0.3.
7. Where a student does not complete a year of instance, the FTE should not be recorded on HESES. This is not consistent with the FTE returned on the HESA student record. When comparing the HESA student record with HESES, we will make adjustments to the FTE returned to HESA to reflect years not completed.
8. Where students change mode within the year of instance to become part-time students (see paragraph 9, Annex M), their FTE should be calculated in the usual way, by comparison with the equivalent full-time course.

### **Example 1**

9. Duration of the course: a full-time course is studied over three years. The equivalent part-time course is studied over six years, and so would have an FTE of 0.5 in each year.

**Example 2**

10. Credit points: a full-time course is studied over three years, with 120 credits taken each year. The equivalent part-time course lasts six years. Ninety credits are studied in each of the first three years and 30 credits in each of the final three. The FTE would be 0.75 in each of the first three years and 0.25 in each of the final three.

**Example 3**

11. A student with APL directly enters the second year of a degree course and completes the final two years of the degree in four years. The final two years of a degree if completed full-time would have a total FTE of 2. Therefore, the total FTE for the student is 2 and the FTE in each year is  $2 \div 4 = 0.5$ .

**Example 4**

12. A student who starts off as full-time but changes to part-time in the second term of the year of instance, studying at the same rate as a part-time student with an FTE of 0.5 per year of instance, should be returned in the part-time table with an FTE of 0.67. This is made up of 0.33 for the first term and  $0.5 \div 3 = 0.17$  for each of the second and third terms, equalling 0.67 in total for the year of instance.

**Example 5**

13. A 1 FTE part-time course is normally studied over two years. However, each year a small proportion of the students take three years to complete. If there are 100 students on the course and 10 take an extra year to complete, the FTE should be  $((90 \times 0.5) + (10 \times 0.33)) \div 100 = 0.48$  and not 0.5.

**Audit issue****Incorrect returning of student FTE**

14. The sum of the total student FTE allocated to a part-time student should be equivalent, over the duration of the course, to that allocated to a full-time student. We have found examples where this is not the case, because of many factors, including a lack of understanding of what the student FTE is meant to represent.

15. Use of standard part-time load factors is common, because the part-time student activity for the year may not have been ascertained by the census date because of the nature of the study. This can be acceptable practice. However, these standard load factors often do not accurately reflect actual activity for the year. If standard load factors are to be used, there must be clear evidence that, on average, students study at these levels of activity.

16. Some students may study at a lower rate than is the norm for a course. This should be reflected in the FTE. At some institutions, students are able to vary the intensity of study during the year, and institutions may therefore have difficulty



predicting this variation. However, we expect institutions to reflect this in their estimates of part-time FTE. See example 5.

17. Where a student plans to study at a full-time rate for a portion of the year, for example only for the first semester, they must be returned as part-time, even though they are 'full-time' for that period of study. The mode of attendance must be established with reference to the activity for the whole year of instance and their FTE reflected correctly.

## **Annex K Residential and funding status**

1. This annex provides guidance on identifying the residential and fundability status of a student. It includes guidance on which students should be classified as Home and EU and which are Island and overseas. There is guidance on how to determine the fundability status of students aiming for an ELQ and of those students supported from other EU public sources. It also provides guidance on the attribution of Home and EU students between the fundability categories of HEFCE-fundable and non-fundable.

### **Home and EU students**

2. Students are classified as Home and EU if they can be regarded as eligible students as defined in Schedule 1 of the Education (Fees and Awards) (England) Regulations 2007 (SI 2007 No. 779), as amended. The Education (Fees and Awards) Regulations can be found on the web-site [www.legislation.gov.uk](http://www.legislation.gov.uk) by entering the year and number for the statutory instruments in the section 'Search All Legislation'. Students from specified overseas territories may be classified as Home and EU if they meet the criteria set out in those regulations. A list of these overseas territories and countries belonging to the EU is on the HEFCE web-site at [www.hefce.ac.uk/learning/datacoll/heses/](http://www.hefce.ac.uk/learning/datacoll/heses/). Students from Gibraltar should be treated as if they were from a country in the EU. Turkish Cypriots who are recognised by the Government of the Republic of Cyprus as being Cypriot nationals will be eligible to be treated as EU nationals irrespective of where they live in Cyprus. Therefore, providing they hold a Republic of Cyprus passport and meet the residency requirements, they will be considered as Home and EU students.

3. Students from countries that are in the European Economic Area (EEA) but not the EU (Iceland, Liechtenstein and Norway) will only be considered in the same way as Home and EU students if they meet the criteria laid down in the above regulations. Students from Switzerland should be treated as if they were from a country that is in the EEA but not the EU.

4. Student Finance England provides a student support helpline to provide advice and guidance on the fees and awards regulations (including eligibility). Where institutions are unsure whether an individual student meets the eligibility requirements as set out in paragraphs 2 and 3 of this annex, they should contact the student support helpline on 0845 602 0583. If Student Finance England says that the student is eligible, this means that the student is also regarded as Home and EU for HESES purposes.

### **Island and overseas students**

5. All students who fall outside the definition of Home and EU in paragraphs 2 and 3 of this annex should be recorded as Island and overseas. This will include students usually resident in the Channel Islands and the Isle of Man.

## **Audit issue**

### **Incorrect recording of overseas students**

6. Overseas students should be clearly identified on the student record system by the census date, and returned in the 'Island and overseas' columns. We found a number of examples where overseas students were returned in the HEFCE-funded columns of the return.

### **HEFCE-fundable students**

7. Home and EU students are eligible to be counted towards HEFCE recurrent funds for teaching (HEFCE-fundable) if they are in the HESES population, as defined in Annex F, and they are not excluded by virtue of paragraphs 9 to 33 of this annex.

8. Where a source other than an EU public source is paying the fee, the level of the fee paid does not affect the eligibility of the student to count as HEFCE fundable.

9. Home and EU students meeting any of the following criteria should be recorded as HEFCE non-fundable:

- a. Students on courses which would otherwise be HEFCE-fundable, but whose places are funded at the standard HEFCE rate, or higher, from another EU public source, such as the European Social Fund, Department of Health, NHS or Home Office. In some cases an EU public source may provide funding that is in addition to the mandatory or recommended fees, pro rata for part-time students, but the funding falls significantly short of the HEFCE standard rate per student. In this situation, the total funds received in addition to the fees should be used to calculate the number of students who (for funding purposes) are assumed to be fully supported from other EU public sources. The remaining students are then eligible for HEFCE recurrent funding (see paragraph 39 of this annex for more details).
- b. Students whose activity is not funded through mainstream HEFCE recurrent funds for teaching, but whose funding has been separately agreed and notified by us. This includes those who are to count towards the delivery of funding or student number targets relating to student numbers co-funded with employers. It also includes courses where we distribute funds on behalf of other government departments.
- c. Postgraduate research students. Postgraduate research students who are recorded as non-fundable solely by virtue of this sub-paragraph should be returned as fundable on the HESA record. Further guidance on the fundability status of research students can be found in the FUNDCODE field on the HESA student record.
- d. Students on ITT courses leading to QTS, and all students holding QTS who are on an INSET course. This will include students transferring from courses where funding has been provided by the TDA for the whole year.

- e. Students on pre-registration nursing or midwifery courses, and courses (including postgraduate courses) leading to a recognised professional qualification in dietetics, speech and language therapy, chiropody/podiatry or prosthetics and orthotics.
- f. Students on programmes franchised to an institution that is neither:
  - i. an HEI supported from public funds, nor
  - ii. an FEC supported from public funds  
except where specific approval has given. Institutions must ensure that all franchises to any other organisation have been specifically approved by HEFCE before students are returned as HEFCE-fundable on HESES. A form for completion by those seeking such approval can be found on the HEFCE web-site at [www.hefce.ac.uk/learning/datacoll/heses/](http://www.hefce.ac.uk/learning/datacoll/heses/). Institutions should reapply if there is a material change in the arrangement.
- g. Students on closed courses. These are courses that are restricted to certain groups of people and are not generally available to any suitably qualified candidate. For example, where a course is only available to employees of particular companies, that course is closed. A list of factors which we use in determining whether a course is open or closed can be found on the HEFCE web-site at [www.hefce.ac.uk/learning/datacoll/heses/](http://www.hefce.ac.uk/learning/datacoll/heses/).
- h. Students who are aiming for an ELQ, unless they are exempt from the ELQ policy, as defined in paragraphs 11 to 33 of this annex.

### **HEFCE non-fundable students**

10. These are students who are Home and EU, as defined in paragraphs 2 and 3 of this annex, but whose place is not considered eligible for recurrent funding for teaching as defined in paragraphs 7 to 9 of this annex.

### **Students aiming for ELQs**

11. Students are considered to be aiming for an ELQ where they are aiming for a qualification that is no higher than one they have already achieved. Therefore, the two key considerations in determining whether a student is aiming for an ELQ are: the academic levels of the qualifications already awarded to the student; and the academic level(s) of the qualification(s) that the student has stated they are aiming for. If the qualifications already achieved are not known the student should be treated as if aiming for an ELQ. As explained in Annex N, where students have currently stated multiple higher education qualification aims as part of the same instance, they should be recorded against the lower aim. Where the student's currently stated qualification aim for that instance is at a higher level than their highest existing HE qualification, then none of the study for the year of instance should be treated as study towards an ELQ. Study for a given year of instance which is at the same or lower level than a qualification already achieved, but which is being pursued solely as an integral part of a qualification

aim that is higher than the one already achieved, should not be treated as study towards an ELQ.

12. The ELQ policy applies regardless of where a student's previous qualifications were obtained, or how they were financed.

**Example 1**

13. A student with a stated aim of both an HND and a degree as part of the same instance should be treated as aiming for an HND for ELQ purposes.

**Example 2**

14. A student aiming for a first degree has an HNC as their highest HE qualification already achieved. The student will be awarded an undergraduate certificate if they successfully complete their first year, but this is not a stated aim of the student. The student should not be treated as aiming for an ELQ for any of their years of instance (including the first), because the undergraduate certificate that they will acquire is not a stated qualification aim of the student.

**Example 3**

15. A student enters with a foundation degree as their highest qualification already achieved and has a stated qualification aim of an honours degree. The student should not be treated as aiming for an ELQ. This would apply both where the student is aiming for the honours degree through, for example, a one-year top-up from the foundation degree, or where the honours degree involves three years of full-time study.

16. In some instances, a student may not be formally awarded a qualification which they have stated as their aim and to which they are entitled, having completed all of the necessary work for that qualification. This may occur, for example, because, while the student has been assessed as eligible for the award, they have not completed the formal process of receiving it. In such cases, the student should be treated for ELQ purposes as if they had been awarded the qualification. The achievement and award of credit should not be treated as a qualification for these purposes.

**Students exempt from the ELQ policy for HEFCE funding purposes**

17. Students falling into one of the following categories are exempt from the ELQ policy:

- a. They are in receipt of the Disabled Students' Allowance (DSA) for at least some of their year of instance reported in the HESES return. Institutions should make estimates for HESES purposes of the numbers of students whose receipt of the DSA for the year of instance will be confirmed after 1 December 2011.
- b. They have stated that their qualification aim is a foundation degree.
- c. They are on a course of initial or in-service teacher training (in any mode or level of study). In-service teacher training courses are defined as courses for which the primary (but not necessarily the only) purpose is to improve the effectiveness of teachers, lecturers or trainers.

- d. They are on a year of course (in any mode or level of study) for which an NHS bursary is payable. More information on NHS bursaries can be found at [www.hefce.ac.uk/learning/datacoll/heses/](http://www.hefce.ac.uk/learning/datacoll/heses/).
- e. They are on an undergraduate course (in any mode of study) which leads to a first registrable qualification with:
- i. General Medical Council.
  - ii. General Dental Council.
  - iii. Nursing and Midwifery Council.
  - iv. Health Professions Council (HPC) for the professions of:
    - chiropodist/podiatrist
    - dietician
    - occupational therapist
    - orthoptist
    - paramedic
    - physiotherapist
    - prosthetist or orthotist
    - radiographer
    - speech and language therapist.
  - v. General Social Care Council.
  - vi. Scottish Social Services Council.
  - vii. Care Council for Wales.
  - viii. Northern Ireland Social Care Council.
  - ix. Royal College of Veterinary Surgeons.
- f. They are on an undergraduate course (in any mode of study) which is a course for which the primary (but not necessarily the only) purpose is to improve the effectiveness of practitioners registered with one of the professional bodies listed in sub-paragraph 17e. In the case of the HPC, this must additionally relate to practitioners in the professions listed in sub-paragraph 17e.iv.
- g. They are on an undergraduate course (in any mode of study) which leads to a professional qualification that has been professionally validated by the National Youth Agency or the Youth Council for Northern Ireland. These are courses leading to qualification to practise as a youth and community worker.
- h. They are on an undergraduate course (in any mode of study) which is a course for which the primary (but not necessarily the only) purpose is to improve the effectiveness of professionally qualified youth and community workers.

- i. They are on a full-time undergraduate course which leads on successful completion towards registration with the Architects Registration Board.
- j. They are either registered at an institution in Northern Ireland which receives funding from the Department for Employment and Learning (DEL); or are domiciled in Northern Ireland and registered with the Open University.
- k. They are aiming for a postgraduate research qualification.

18. Home and EU students who are aiming for an ELQ in a strategically important and vulnerable subject (SIVS) should be reported as HEFCE non-fundable unless they are exempt from the ELQ policy by virtue of paragraph 17 of this annex. The targeted allocation that we are providing for SIVS, following the introduction of the ELQ policy, is outside the mainstream teaching grant and does not in itself give exemption to students aiming for an ELQ in a SIVS.

#### **Example 4**

19. A student enters with an honours degree and intends to study for a foundation degree over two years and then top up to an honours degree in one year. If they have a stated qualification aim of both a foundation degree and an honours degree as part of the same instance then the student would be exempt from the ELQ policy in the first two years when studying for the foundation degree. However for the final year, when topping up to an honours degree, the student would be treated as aiming for an ELQ.

### **Determining level of qualification**

20. It is not possible for HEFCE to provide a full hierarchical list of the qualifications that are awarded in the UK or, indeed, elsewhere. In most cases, whether or not a student will be aiming for an ELQ will be clear. However, in a minority of cases, institutions will need to make a reasonable academic judgement about whether or not a student's qualification aim is at a higher level than their existing highest qualification achieved. Institutions should bear in mind the guidance in paragraphs 21 to 33 of this annex.

### **Framework for HE qualifications**

21. The Framework for Higher Education Qualifications in England, Wales and Northern Ireland (second edition published in August 2008) and the Framework for Higher Education Qualifications in Scotland (both available at [www.qaa.ac.uk/AssuringStandardsAndQuality/Qualifications/Pages/default.aspx](http://www.qaa.ac.uk/AssuringStandardsAndQuality/Qualifications/Pages/default.aspx)) should generally be used to determine a basic hierarchy of qualifications. Any revisions to those frameworks should be reflected as they are introduced. Further guidance on use of those frameworks is provided below.

22. In general, institutions should treat qualifications that fall within the same level within these frameworks as being equivalent. However, it may be appropriate in certain circumstances to consider a hierarchy of qualifications within a single level, especially where students are progressing through a succession of qualifications. In particular:

- a. Within Level 7 of the Framework for Higher Education Qualifications in England, Wales and Northern Ireland, it may be appropriate to consider a masters qualification to be at a higher level than a postgraduate diploma, which in turn may be at a higher level than a postgraduate certificate. However, this may not apply in all cases and will depend on the nomenclature adopted by different awarding bodies.
  - b. Within Level 6 of the Framework for Higher Education Qualifications in England, Wales and Northern Ireland, it will normally be appropriate to consider a bachelors degree with honours to be at a higher level than a bachelors degree without honours.
  - c. Within Level 5 of the Framework for Higher Education Qualifications in England, Wales and Northern Ireland, it will normally be appropriate to consider a foundation degree bridging course (which gives access to the final year of an honours degree) to be at a higher level than a foundation degree.
23. For a student who already holds an honours degree, their classification in HESES as either undergraduate or postgraduate taught should not, alone, determine whether or not they are aiming for an ELQ. The ELQ policy is about the academic level of qualifications, so it is the level of the final qualification for which the student is aiming that will determine their ELQ status. By contrast, whether or not a student is recorded as postgraduate taught in HESES is determined by whether or not a degree is a normal entry requirement, and is not necessarily an indication of the academic level of their study or final qualification aim. In particular, this means that, for a student whose highest qualification already achieved is an honours degree:
- a. Where they are undertaking a graduate conversion course, they should be recorded as postgraduate taught, but they should also be considered as aiming for an ELQ. In this context, a graduate conversion course is a course for which a normal condition on entry is an honours degree, but whose academic level is no higher than Level 6 of the Framework for Higher Education Qualifications in England, Wales and Northern Ireland. Some such courses may be designed to give access to postgraduate courses for those whose first degree was in a different subject area.
  - b. Where they are undertaking an integrated masters programme (such as a four-year MEng, MPhys or MChem), they should be recorded as at undergraduate level in HESES, because a degree is not a normal entry requirement for such study. However, with the exception of the MPharm (see paragraph 25), they should not be treated as aiming for an ELQ, because the academic level of the final qualification of the integrated masters programme is at Level 7 of the Framework for Higher Education Qualifications in England, Wales and Northern Ireland. This also means (again with the exception of students who hold an MPharm) that a student who holds an integrated masters qualification and who wishes to enrol on a one- or two-year taught postgraduate masters qualification (such as an MA or MBA) should be treated as aiming for an ELQ.



24. As is stated in the Framework for Higher Education Qualifications in England, Wales and Northern Ireland, MAs granted by the universities of Oxford and Cambridge are not academic qualifications. Students holding such awards should be treated as holding a Level 6 qualification, reflecting also whether they are with honours for the purpose of the guidance at sub-paragraph 22b of this annex. A number of universities in Scotland also have a tradition of awarding 'MAs' as opposed to 'BAs' at undergraduate degree level. These should also be treated in the same way as bachelors degrees, reflecting also whether they are with honours.

### **Exceptions to the framework for HE qualifications**

25. The MPharm should be treated as a Level 6 qualification for ELQ purposes. This means that:

- a. A student whose highest qualification already achieved is a bachelors degree with honours and who is studying for an MPharm should be treated as aiming for an ELQ.
- b. A student who holds an MPharm as their highest qualification already achieved and who is now studying for a one-or two-year taught postgraduate masters qualification at Level 7 (such as an MA or MBA) should not be treated as aiming for an ELQ.

26. The second edition of the Framework for Higher Education Qualifications in England, Wales and Northern Ireland states (in paragraph 43) that the final outcomes of first degrees in medicine, dentistry and veterinary science typically meet the expectations of the descriptor for a higher education qualification at Level 7. However, for ELQ purposes only, these qualifications should continue to be treated as if they were at Level 6. This means that:

- a. A student whose highest qualification already achieved is a bachelors degree with honours and who is studying for a first registrable degree in medicine, dentistry or veterinary science would be considered to be aiming for an ELQ. However, they are exempt from the ELQ policy by virtue of sub-paragraph 17e of this annex and (assuming they meet all other criteria for that status) can be recorded as HEFCE-fundable.
- b. A student who holds a first registrable degree in medicine, dentistry or veterinary science as their highest qualification already achieved and who is studying on a one- or two-year taught postgraduate masters qualification (such as an MSc or MBA) should not be treated as aiming for an ELQ.

27. All PGCEs (whether Postgraduate Certificates in Education or Professional Graduate Certificates in Education) should be treated, for the purpose of the ELQ policy only, as being equivalent to Level 6. This means that a student whose highest qualification already achieved is a PGCE, and who has no other postgraduate qualification, would not be treated as aiming for an ELQ if they enrolled on a postgraduate masters qualification. Students aiming for a PGCE of either type are exempt from the ELQ policy, as explained in sub-paragraph 17c of this annex.

28. Where students are studying for a first HE-level qualification by accumulating credit on a succession of 'courses' or modules, they should not be treated as aiming for an ELQ. Such accumulation of credit should be treated as progression towards a final undergraduate qualification. However, if the student has an HE-level qualification (as well as potentially having accumulated undergraduate level credit from recent study), then the student would be treated as aiming for an ELQ if that qualification was at a level that is equivalent to, or higher than, the credit towards which the student was now studying. A similar approach should be adopted where students are accumulating credit at postgraduate level: credit previously achieved should not generally be used to determine that a student aiming for further postgraduate credit is aiming for an ELQ, but a previous postgraduate-level qualification generally would.

#### **Example 5**

29. A student without any prior HE qualification is undertaking a succession of 20 credit-point undergraduate continuing education courses, which are all at the same academic level. After successful completion of such a course, it is open to the student to be awarded a university certificate. If the student completes 120 credit points from such courses, they can be awarded a Certificate of Higher Education. In this example:

a. A student who has successfully completed a 20 credit-point course, but has not been awarded the university certificate, should not be treated as aiming for an ELQ for any study towards another 20 credit-point course.

b. Where the student has been awarded a university certificate for successfully completing a 20 credit-point course, then:

i. They should be treated as aiming for an ELQ if they are taking another 20 credit-point course, and either have a stated qualification aim of a university certificate or have not stated a qualification aim (that is, they are assumed to be studying towards further credit at the same level as a qualification already awarded).

ii. They should not be treated as aiming for an ELQ if they are taking another 20 credit-point course, but have a sole qualification aim of a Certificate of Higher Education. This because the Certificate of Higher Education would be considered a higher qualification than the university certificate already achieved. If the student has stated qualification aims for both a university certificate and the Certificate of Higher Education, then (following the guidance in paragraph 11), they would be treated as aiming for an ELQ, by virtue of sub-paragraph 29b.i.

30. Institutions may wish to take advice from UK NARIC ([www.naric.org.uk](http://www.naric.org.uk)) about the relative level of professional qualifications and those awarded abroad. UK NARIC is the national agency responsible for providing information, advice and expert opinion on vocational, academic and professional skills and qualifications from over 180 countries worldwide. There may be cases where UK NARIC advises, for example, that the academic level of a degree awarded by another country is below that of a degree in the UK. Where this is the case, it is acceptable to treat a student whose highest HE qualification is a degree from that other country, and who is studying for a degree in the

UK, as not aiming for an ELQ. Other sources of information that may help in determining the academic level of qualifications can be found at [www.hefce.ac.uk/learning/datacoll/heses](http://www.hefce.ac.uk/learning/datacoll/heses).

## Reviewing ELQ status

31. In general, whether or not a student is aiming for an ELQ should be reviewed annually, at the start of each year of instance. This is necessary in order to take account of changing student circumstances, such as where a student:

- a. Following two separate programmes of study, receives a qualification for one before the other is complete.
- b. Changes their qualification aim.
- c. Begins to receive the DSA.

In general, we would not expect institutions to change the ELQ status of their students within a year of instance.

### Example 6

32. A student with no previous HE qualifications is concurrently aiming for a first degree and a part-time two-year HNC. The student completes the degree when they are mid-way through the first year of the HNC. In this example, the student should not be treated as aiming for an ELQ for the first year of the HNC: although they will be awarded a degree part-way through the year, they did not have this qualification when they commenced the first year of instance for the HNC. However, the student should be treated as aiming for an ELQ for their second year of instance for the HNC, because their ELQ status should be reviewed annually to take account of any newly achieved HE qualifications.

## Relationship to fee regulations

33. The Student Fees (Qualifying Courses and Persons) (England) Regulations (statutory instrument 2007 No. 778, as amended in particular by statutory instrument 2008 No. 1640) define which categories of students and courses are covered by the regulated undergraduate fee regime – that is, those for whom institutions cannot charge a fee that exceeds prescribed limits, including those stated in their access agreement with the Office for Fair Access. The Education (Student Support) Regulations 2009 (statutory instrument 2009 No. 1555), as amended by The Education (Student Support) Regulations 2009 (Amendment) Regulations 2010 (statutory instrument 2010 No. 2546), define entitlements to student support for 2011-12. This statutory instrument contains definitions of ELQs. However, there are some differences in the treatment of students between whether they may be recorded as HEFCE-fundable following the guidance in HESES; and whether or not they are liable to regulated tuition fees or are eligible for student support. In particular, there will be cases where a student can be treated as exempt from the ELQ policy for HEFCE funding purposes, but where they are not covered by the Student Fees (Qualifying Courses and Persons) Regulations – that

is, they can, if the institution chooses, be charged a non-regulated tuition fee. We do not, however, expect there to be cases where a student is non-fundable by HEFCE because of their ELQ status, but where the institution is still restricted to charging a regulated tuition fee. Any questions about these statutory instruments should be raised with the Student Finance England helpline on 0845 602 0583.

## **Audit issues**

### **Collecting qualification data from students**

34. Institutions should ask students to confirm annually that they have not achieved any new qualifications since they last enrolled.

35. Institutions should ensure that their data protection notices allow them, the Government or their respective agents to check the accuracy of personal information provided by students against external data sources. For example, they should permit the institution to test whether the student has been reported on earlier HESA or the Data Service's ILR returns of other institutions and to contact those other institutions for confirmation of any qualifications obtained.

### **Keeping records of how students aiming for ELQs have been identified**

36. In all cases, institutions should keep records for audit purposes of how they are identifying students as aiming for an ELQ. This should set out the broad approach adopted by the institution. Where, for individual students, there may be uncertainty as to whether they are aiming for an ELQ, institutions should also keep a record of how they have determined these students' ELQ status.

37. Institutions should take reasonable steps to test the accuracy of the qualifications achieved reported by their students, reflecting the availability of other sources of information, such as data from HESA, ILR, UCAS or the Student Loans Company (SLC). This does not require an institution to test the qualifications achieved by all its students. However, we recommend that institutions use a random sample to test the overall accuracy of their data on qualifications achieved, plus selective samples where doubts may exist about the entry qualifications reported by individual students.

### **Incorrect recording of students aiming for ELQ**

38. Students aiming for an ELQ should be clearly identified on the student record system by the census date, and returned in the 'non-fundable' columns. We found a number of examples where students aiming for an ELQ were returned as HEFCE-funded.

### **Determining the number of students supported from other EU public funds**

39. The public funding should first be used to offset any shortfall between the fees charged and the assumed fees. Once this offset has taken place, any remaining public funding should be divided by the standard funding per student and rounded up to the

nearest whole number to find how many students are non-fundable; the remainder are then fundable. For institutions in England, the standard funding per student is calculated as the standard resource minus the assumed fee. 'Standard resource' is explained in paragraphs 46 to 49 of this annex. Note that in the following examples, the assumed fee per FTE for part-time undergraduates is £1,345. For institutions in Northern Ireland, the same principles should apply as in the following examples, but they should use the 2011-12 base price that applies to them of £4,485 to calculate standard resource.

40. There is an Excel template on the HEFCE web-site, under 'Is there an Excel template to calculate the number of students who are non-fundable in individual cases, where there is funding from another EU public source?' at [www.hefce.ac.uk/learning/datacoll/heses/](http://www.hefce.ac.uk/learning/datacoll/heses/) which will calculate the number of students who are non-fundable in individual cases.

#### **Example 7**

41. There are 10 full-time undergraduate students supported by £13,450 from a public source. The students are not charged a separate fee and there is no other income. The assumed fees are £1,345 per student, so the public money only covers the fees and all students are fundable.

#### **Example 8**

42. There are 10 full-time undergraduates, all in price group C. The fees for each year are £1,345 paid by the SLC, the student, or a mixture of the two. In addition, a public source puts in £1,000 per student. The assumed fees are fully met by the fees charged, so there is no offset.

Standard resource per student	$1.0 \times 1.3 \times £3,670$	$= £4,771$
Assumed fee per student	$1.0 \times £1,345$	$= £1,345$
Standard funding per student	<b><u><math>= £4,771 - £1,345</math></u></b>	<b><u><math>= £3,426</math></u></b>
Remaining public money	<b><u><math>= 10 \times £1,000</math></u></b>	<b><u><math>= £10,000</math></u></b>
Non-fundable students	<b><u><math>= £10,000 \div £3,426</math></u></b>	<b><u><math>= 2.9</math></u></b>

Therefore three students are non-fundable, and the remaining seven are fundable.

**Example 9**

43. There are 50 part-time undergraduate students in price group C, each with an FTE of 0.5, who pay £100 a year tuition fee, and there is £30,000 from a public source.

Standard resource per student	$0.5 \times 1.3 \times £3,670$	$= £2,386$
Assumed fee per student	$0.5 \times £1,345$	$= £673$
Standard funding per student	<u><math>= £2,386 - £673</math></u>	<u><math>= £1,713</math></u>
Shortfall between fees charged and assumed fees	$£673 - £100$	$= £573$
Remaining public money	<u><math>= £30,000 - (50 \times £573)</math></u>	<u><math>= £1,350</math></u>
Non-fundable students	<u><math>= £1,350 \div £1,713</math></u>	<u><math>= 0.8</math></u>

Therefore one student is non-fundable, and 49 are fundable.

**Example 10**

44. As in Example 9, but the fees are £673 a year all paid by the student. Each student pays a tuition fee which is equal to the assumed fee, so there are no tuition fees to make up using the public money. There is £30,000 public money and the standard funding per student is £1,713. Therefore 18 students ( $£30,000 \div £1,713 = 17.5$ ) are non-fundable, and 32 are fundable.

**Example 11**

45. There are 10 full-time postgraduate students entirely in price group C. The fees for the year are £4,000; a public body pays half of the fee and the student pays the other half. The assumed fees are £3,670, which leaves £330 ( $£4,000 - £3,670$ ) of public money per student.

Standard resource per student	$1.0 \times 1.3 \times £3,670$	$= £4,771$
Assumed fee per student	$1.0 \times £3,670$	$= £3,670$
Standard funding per student	<u><math>= £4,771 - £3,670</math></u>	<u><math>= £1,101</math></u>
Remaining public money	<u><math>= 10 \times (£4,000 - £3,670)</math></u>	<u><math>= £3,300</math></u>
Non-fundable students	<u><math>= £3,300 \div £1,101</math></u>	<u><math>= 3.0</math></u>

Therefore three students are non-fundable, and the remaining seven are fundable.

## Calculation of standard resource

46. The 2011-12 standard resource for a student is calculated by multiplying the total weighted FTE by £3,670 (£4,485 for institutions in Northern Ireland) – the base level of resource for price group D. The weighted FTE is the sum of price group-weighted FTE, London-weighted FTE and partial completion measure FTE.

47. The price group weights are shown below.

Price group	Weight
A (Clinical)	4.0
B (Laboratory-based science, engineering and technology)	1.7
C (Other high-cost subjects with a studio, laboratory or fieldwork element)	1.3
D (All other subjects)	1.0
Media studies*	1.0, 1.3, 1.7

\* Proportions in each price group weight are notified in Table G of the funding agreement for each institution.

48. If an institution attracts London weighting or a partial completion weighting under the teaching funding method, the standard resource should be increased to reflect this.

49. London weighting varies depending on the institution's location. Generally, institutions in inner London receive a weighting of 8 per cent, those in outer London 5 per cent. The partial completion weighting also varies by institution. We notified institutions of their weightings in Table G of their funding agreement. These weightings are applied to student FTEs weighted by price group. Examples of the calculations are given in paragraphs 50 to 52 of this annex.

### Example 12

50. The standard resource for a part-time student (0.4 FTE) in price group C is £1,908:

Price group weighted FTE	$0.4 \times 1.3$	$= 0.52$
Standard resource	$= 0.52 \times \text{£3,670}$	$= \text{£1,908}$

**Example 13**

51. The standard resource per FTE in price group B for a student at an institution receiving the inner London premium and a partial completion weighting of 0.4 per cent is £6,763:

Price group weighted FTE	$1.0 \times 1.7$	$= 1.700$
London weighted FTE	$1.0 \times 1.7 \times 0.08$	$= 0.136$
Partial completion weighted FTE	$1.0 \times 1.7 \times 0.004$	$= 0.0068$
Total weighted FTE	$1.7 + 0.136 + 0.0068$	$= 1.8428$
Standard resource	<b><u><math>= 1.8428 \times \text{£}3,670 = \text{£}6,763</math></u></b>	

**Example 14**

52. The standard resource for a full-time student who undertakes 60 per cent of their work in price group B and 40 per cent in price group D at an institution that receives a partial completion weighting of 0.8 per cent is £5,655 as shown in the table below:

	(a)	(b)	(c)	(d)	
Price group	FTE	Price group weighting	Price group weighted FTE $= (a) \times (b)$	Partial completion weighted FTE $= (c) \times 0.008$	Total weighted FTE $= (c) + (d)$
B	0.6	1.7	1.02	0.00816	1.02816
D	0.4	1.0	0.40	0.0032	0.4032
					<b>1.43136</b>

Therefore standard resource  **$= 1.43136 \times \text{£}3,670 = \text{£}5,253.$**



## Annex L Price groups

1. This annex explains how years of instances should be mapped to price groups, including guidance on special cases such as medicine, dentistry, veterinary science, education, sports science and leisure studies, and computing. Examples are given for cases where a year of instance can be split across price groups and for cases where provision is franchised out.
2. Price groups are defined in terms of academic cost centres. Full details of how to assign departments to cost centres are in 'Assignment of departments to academic cost centres: 2005-06' (HEFCE Circular letter 32/2005).

Cost centre	Price group(s)
01 Clinical medicine	A, B
02 Clinical dentistry	A, B
03 Veterinary science	A, B
04 Anatomy & physiology	B
05 Nursing & paramedical studies	C
06 Health & community studies	C
07 Psychology & behavioural sciences	C
08 Pharmacy & pharmacology	B
10 Biosciences	B
11 Chemistry	B
12 Physics	B
13 Agriculture & forestry	B
14 Earth, marine & environmental sciences	B
16 General engineering	B
17 Chemical engineering	B
18 Mineral, metallurgy & materials engineering	B
19 Civil engineering	B
20 Electrical, electronic & computer engineering	B
21 Mechanical, aero & production engineering	B
23 Architecture, built environment & planning	C
24 Mathematics	C
25 Information technology & systems sciences, computer software engineering	C

<b>Cost centre</b>	<b>Price group(s)</b>
26 Catering & hospitality management	C
27 Business & management studies	D
28 Geography	C
29 Social studies	D
30 Media studies	Media studies
31 Humanities & language-based studies	D
33 Design & creative arts	C
34 Education	C, D
35 Modern languages	C
37 Archaeology	C
38 Sports science & leisure studies	B, C, D
41 Continuing education	D
99 Cost centre not assignable	D

<b>Price group</b>	<b>Cost centres</b>
A	01*, 02*, 03*
B	01*, 02*, 03*, 04, 08, 10, 11, 12, 13, 14, 16, 17, 18, 19, 20, 21, 38*
C	05, 06, 07, 23, 24, 25, 26, 28, 33, 34*, 35, 37, 38*
D	27, 29, 31, 34*, 38*, 41, 99
Media studies	30
ITT (QTS)	Courses of ITT leading to QTS (TTCID = 1, 8) <sup>1</sup>
INSET (QTS)	Courses for teachers (TTCID = 5), where the student has QTS (QTS = 3) <sup>2</sup>

\* For definitions see following paragraphs.

3. Students on a sandwich year-out should be recorded in price group C, regardless of academic cost centre.

<sup>1</sup> Teacher training course identifier on the HESA student record.

<sup>2</sup> Qualified teacher status identifier on the HESA student record.

## **Special cases**

### **Medicine, dentistry and cost centres 01 and 02**

4. Medical and dental years of instance recorded in price group A must be generated by students in one of the following categories.
  - a. Clinical medical students on the final three years of a first registrable medical qualification for doctors taken:
    - i. After the pre-clinical part of the course, or
    - ii. After a free-standing pre-clinical course, or
    - iii. As part of an integrated pre-clinical and clinical course.
  - b. Clinical dental students on the final four years of a first registrable dental qualification for dentists taken:
    - i. After the pre-clinical part of the course, or
    - ii. After a free-standing pre-clinical course, or
    - iii. As part of an integrated pre-clinical and clinical course.
  - c. Clinical medical and clinical dental postgraduate taught students, where the course meets the following three criteria:
    - i. The course bears very high costs that are comparable to the clinical unit of resource.
    - ii. A substantial proportion of the staff teaching time contributed to the course is provided by medically or dentally qualified, university-funded clinical academic staff who hold honorary contracts with the NHS. This includes general practitioners.
    - iii. Nearly all of the course is taught in a clinical environment.
  - d. Research students where the focus of their research is in a clinical environment and the lead supervisor is a clinical academic.
5. Students who meet the criteria in paragraph 4 should have all of their activity for the year of instance attributed to price group A, irrespective of any activity in academic cost centres. All other activity in cost centres 01 and 02 should be returned in price group B.
6. Where, and only where, a postgraduate course meets the criteria set out in paragraph 4, the subject of course aim should be coded as A3 (clinical medicine), A4 (clinical dentistry), C842 (clinical psychology) or C845 (clinical neuropsychology) on the HESA student record.

### **Veterinary science and cost centre 03**

7. Undergraduate veterinary science students should be included in price group A if they are in the final five years of a course which leads to eligibility to register to practise

as a veterinary surgeon, irrespective of any activity in academic cost centres. All other undergraduate veterinary activity, including foundation years, should be returned in price group B.

8. To be included in price group A, clinical veterinary science postgraduate taught students must also be on courses which meet the following three criteria:
  - a. The course bears very high costs that are comparable to the clinical unit of resource.
  - b. A substantial proportion of the staff teaching time contributed to the course is provided by veterinary-qualified, university-funded, clinical academic staff.
  - c. Nearly all of the course is taught in a clinical environment.
9. For research students to be included in price group A, the focus of their research must be in a clinical environment and the lead supervisor should be a clinical academic.
10. All other postgraduate activity in cost centre 03 should be recorded in price group B.

#### **Education – cost centre 34, ITT and INSET courses**

11. Students on ITT courses leading to QTS should be entirely attributed to the ITT (QTS) price group, irrespective of any provision in academic cost centres. Students on ITT courses that do not lead to QTS, such as DTLLS, PGCEs for the post-compulsory education sector and other courses leading to Qualified Teacher Learning and Skills (QTLS) status (TTCID = 2), should be entirely attributed to price group C, irrespective of any activity in academic cost centres.
12. INSET courses are defined as courses for which the primary (but not necessarily the only) purpose is to improve the effectiveness of teachers, lecturers or trainers. Students holding QTS on INSET courses should be entirely attributed to the INSET (QTS) price group, irrespective of any activity in academic cost centres and whether or not the TDA is funding their provision. Students who do not hold QTS but are studying a PGCE for the post-compulsory education sector, CertEd or DTLLS as an INSET course should be recorded in price group C. Other students on INSET courses who do not hold QTS should be attributed to price groups in the normal way.
13. Students studying for a foundation degree to become a teaching assistant, whose course has been awarded as part of an additional student number (ASN) exercise, should be returned in price group C. Where students are studying for such a course and it has a high classroom-based element, but has not been awarded as part of an ASN exercise, institutions should seek our permission before recording them in price group C. All institutions seeking this permission should send details of the relevant course to [heses@hefce.ac.uk](mailto:heses@hefce.ac.uk). Institutions should re-apply if there is a material change in the provision.
14. All other activity in cost centre 34 should be returned in price group D.

### **Sports science and leisure studies – cost centre 38**

15. Departments of sports-related subjects – including sports science, sport and exercise sciences, sports and leisure studies, sports and leisure management, and physical recreation (non-QTS) – should be allocated to price groups B, C or D according to the outcome of the HEFCE review carried out in 2004-05, or as subsequently agreed by HEFCE.

### **Attribution of computing to cost centres 20 and 25**

16. Only computer engineering departments that relate to the development of computer hardware – specification, design (via computer-aided design), simulation, verification, construction and testing of the hardware of computer systems using logic, memory and interconnection technologies – should be included in cost centre 20. All other computing departments should be returned in cost centre 25.

### **Allocation of years of instance to price groups**

17. Years of instance are split between cost centres based on the cost centres returned in the module part of the HESA student record.

18. Except where noted in paragraphs 4 to 16 of this annex, years of instance should be allocated to price groups according to the mix of cost centres in which activity takes place. Student FTE is allocated to cost centres according to the cost centre of the member of staff teaching the module or supervising the activity. This will be described by the modules in the HESA record. Where the activity for a year of instance falls into more than one cost centre, and these cost centres do not fall entirely within one price group, the year should be split among the price groups according to the proportion of activity in each cost centre. Up to two decimal places may be used for this apportionment.

19. Where activity is franchised out for all or part of the provision, if at least one of the following conditions apply then it should be returned in the cost centre(s) most closely matching the academic content of the franchised-out provision:

- a. The franchised-out student FTE is at least 20 per cent of the total student FTE in the department that arranges the franchise, or
- b. The franchised-out student FTE is at least 100.

Otherwise it may be returned in the cost centre(s) of the department that arranges the franchise. However, if the institution wishes to return the franchised-out FTE in the cost centre(s) most closely matching the academic content of the franchised-out provision, it may choose to do so.

20. Provision that is franchised out may not be naturally attributable to a cost centre in which the institution is usually active. In this case institutions should create a virtual cost centre in which this activity and its related expenditure are returned. If institutions return such activity using cost centre 99 on the HESA record it should be treated as if it falls into price group D.

21. Institutions should ensure that where a student's provision does not fall entirely within a single cost centre and subject pairing, this is clearly identified on the HESA student record. The HESA student record links subjects and cost centres to students through the subjects and cost centres associated with the modules attached to the student. In January 2012 we will compare the FTE returned to cost centres with both:

- the FTE returned on HESES and
- the HESA subject of study.

**Example 1**

22. A student studies engineering in the engineering department and also studies some management in the business and management department. The cost centre of each department along with the subject studied is identified separately on the HESA student record. For HESES purposes this would be returned in price groups B and D.

**Example 2**

23. A student studies engineering in the engineering department and also studies some management in the engineering department. The engineering department is split between two cost centres, one for its engineering provision and one for its management provision. Each cost centre and subject studied is identified separately on the HESA student record. For HESES purposes this would be returned in price groups B and D.

**Example 3**

24. A student studies engineering in the engineering department and also studies some management in the engineering department. The department has only one cost centre as the management provision represents a very small proportion of its activity. Both subjects studied are identified separately on the HESA student record. For HESES purposes this would all be returned in price group B.

**Example 4**

25. If 40 physics students are taught business under a franchise arrangement, and the franchised-out student FTE amounts to 10 FTE out of 40 FTE for the entire physics department (that is, 25 per cent), then the franchised-out FTE should be returned under business and management studies.

**Example 5**

26. If 40 physics students are taught business under a franchise arrangement, and the franchised-out student FTE amounts to 10 FTE out of 100 FTE for the entire physics department (that is, 10 per cent), then the franchised-out FTE may be returned under physics.

## **Audit issues**

### **Assignment of departments to cost centres**

27. The audits found cases where all academic activity for a department was sometimes assigned to only one cost centre, where it should be split across cost centres. We also found cases where a department was split across cost centres and a standard division was applied, irrespective of the actual split in staff effort for that department. We also found instances where a department was assigned to the incorrect cost centre/price group. We may ask institutions to provide evidence of how they have allocated particular departments to cost centres.

28. As part of the comparison of HESA and HESES data, we examined subject provision by cost centre. This highlighted a number of cases where inappropriate allocations had been made, often because of historical allocations of course codes or assignment of departments to cost centres. In addition, some variation in how institutions mapped activity to cost centres was apparent.

29. Staff define cost centres so, when determining the cost centre for a given module, the cost centre of the member of staff most directly associated with it should be used. In general, staff will be associated with only a single cost centre even where their department is split across cost centres. In particular, where a department is split across cost centres, it is necessary to identify which modules are taught by individual members of staff in order to assign the student FTE to the appropriate cost centre. In general this approach will not be consistent with pro-rating student FTE to the staff cost centre split. Where two or more members of staff from different cost centres are associated with a particular activity, the student FTE should be split according to the proportion contributed by each member of staff.

30. A regular review of the assignment of departments to cost centres should be carried out to ensure that the latest guidance is being followed.

### **Apportionment of student FTE to cost centres**

31. The allocation of student FTE to cost centres, and therefore to price groups, can present problems where provision for a course is in more than one department and cost centre, or where a department is split across cost centres. If a module or part of a course is provided by a different cost centre to the rest of the course, this should be identified on the HESA record and on HESES by mapping the relevant student FTE to the correct price group. Where the student FTE for a course is split across cost centres, the FTE should be apportioned in an appropriate ratio. This ratio should be calculated on an individual course basis and reviewed regularly, with particular attention paid to areas affected by any changes to cost centre or price group assignments. It is not appropriate to apply a ratio calculated for one course to other courses. There is more guidance in paragraphs 17 to 26 of this annex.

## Annex M Mode of study

1. This annex explains how to determine the mode of study for a year of instance (full-time, sandwich year-out or part-time), including guidance on how to treat learning in the workplace and work experience when determining mode of study.

### Full-time

2. A year of instance is counted as full-time if it meets **all** of the following criteria:

a. The student is normally required to attend the institution, or elsewhere, for periods amounting to at least 24 weeks within the year of instance and, during that time, they are normally expected to undertake periods of study, tuition, learning in the workplace or sandwich work placement that does not meet the criteria to be sandwich year-out, which amount to an average of at least 21 hours per week; and

b. Full-time fees are chargeable for the course for the year. These include:

#### **For 'current system students':**

i. Regulated fees of up to £3,375 for undergraduates and students registered for a PGCE.

ii. Regulated fees of up to £1,680 for undergraduates on courses provided in conjunction with overseas institutions that are not Erasmus exchanges, where study at the Home institution is for less than 10 weeks.

iii. Regulated £0 for undergraduates who are on full-year outgoing Erasmus exchanges.

#### **For 'old system students':**

iv. Regulated fees of £1,345 for undergraduates and students registered for a PGCE.

v. Regulated fees of £665 for undergraduates on courses provided in conjunction with overseas institutions that are not Erasmus exchanges, where study at the Home institution is for less than 10 weeks.

vi. Regulated £0 for undergraduates who are on full-year outgoing Erasmus exchanges.

In the above examples, 'current system students' and 'old system students' mean those defined in the Education (Student Support) Regulations 2009 (SI 2009 No. 1555), as amended. Exceptionally, all or part of the fee may be waived for individual students based on their particular personal rather than course-related circumstances. This does not include cases where fees are reduced because students are studying less intensively than is normally expected for a full-time student. It should not be waived for all students on a course, and the criteria that determine whether fees may be waived should not be tantamount to waiving the fee for all students.



3. The full-time category includes all full-time, sandwich and language year-abroad students, other than those falling within the definition of 'sandwich year-out' given below.

### **Sandwich year-out**

4. A year of instance is counted as sandwich year-out if it includes a period of work-based experience and meets both of the following criteria:

- a. The course falls within the definition of 'sandwich' in Regulation 2(10) of the Education (Student Support) Regulations 2009 (SI 2009 No. 1555), as amended. This includes language year-abroad courses where the year abroad is spent working.
- b. The overall maximum fees are, for qualifying students, those described in Regulation 5 of the Student Fees (Amounts) (England) Regulations (SI 2004 No. 1932), as amended by Regulation 2(4) of the Student Fees (Amounts) (England) (Amendment) Regulations 2011 (SI 2011 No. 432), or up to approximately half of the fees that would be chargeable if the student were full-time.

Exceptionally, all or part of the fee may be waived for individual students based on their particular personal rather than course-related circumstances. This does not include cases where fees are reduced because students are studying less intensively than is normally expected for a full-time student. It should not be waived for all students on a course, and the criteria that determine whether fees may be waived should not be tantamount to waiving the fee for all students.

5. Students spending a full year abroad working who are eligible for the regulated £0 fee under the Erasmus scheme should be returned as sandwich year-out. This includes students under the British Council's Language Assistant scheme.

### **Part-time**

6. A year of instance is counted as part-time if it does not meet the requirements to be either full-time or sandwich year-out. This includes HNC students who are expected to complete in one year, but whose course is not subject to regulated fees.

7. In general, all students on a given course with a broadly similar pattern of activity, for a given year of instance, should be recorded as having the same mode.

8. In some cases a student's mode of study changes between years. For example, the mode of a student on a full-time 18-month course would change from full-time in year one to part-time in year two, where the second year does not have 24 weeks of study. In this case the student's activity would be recorded as 'other full-time' in year two on the HESA student record.

## **Students who change from full-time to part-time within a year of instance**

9. Where full-time students change mode within the year of instance to become part-time students, the year of instance should be recorded as part-time only. This applies only where the student continues to study actively on their year of instance, where there is a formal process for agreeing the change in mode, including confirmation by the student and a recalculation of their tuition fee to reflect their part-time status. It may also result in the student losing entitlement to full student support. Their FTE should be calculated in the usual way, by comparison with the equivalent full-time course. Students should not be excluded from Table 6 solely on the basis that they have changed from full-time to part-time (see Annex H, paragraph 27 and Annex I, paragraph 3).

### **Example 1**

10. A student starts off as full-time but changes to part-time in the second term of the year of instance, studying at the same rate as a part-time student with an FTE of 0.5 per year of instance. They should be returned in the part-time table with an FTE of 0.67. This is made up of 0.33 for the first term and  $0.5 \div 3 = 0.17$  for each of the second and third terms, equalling 0.67 in total for the year of instance. More guidance on assigning student FTE for part-time years of instance is in Annex J. Depending on their circumstances, particularly if this was the first year of instance on an undergraduate programme, the year of instance may still need to be included on Table 6, because more than two weeks of full-time study was completed.

## **Treatment of learning in the workplace and work experience for the purposes of determining mode of study**

11. For the purposes of meeting the attendance definition for a full-time course, full-time study can include learning in the workplace, where this is a course requirement. Such learning is frequently a feature of foundation degrees, and may also occur in other programmes. Learning in the workplace is a structured academic programme, controlled by the higher or further education institution, and delivered in the workplace by academic staff of the institution, staff of the employer, or both.

12. Unlike work experience, which is one element of a course such as a sandwich placement (whether for the whole or part of a year), learning in the workplace is at the heart of a student's learning programme and must be subject to the same level of academic supervision and rigour as any other form of assessed learning. It includes:

- the imparting of relevant knowledge and skills to students
- opportunities for students to discuss knowledge and skills with their tutors
- assessment of students' acquisition of knowledge and skills by the institution's academic staff, and perhaps jointly with an employer.

13. Learning in the workplace should be regarded as substituting for learning that under other circumstances would normally take place within the institution. The

inclusion of an element of learning in the workplace should, therefore, not extend the normal duration of a course.

14. Institutions should note paragraph 4 of Annex O, which states that if the year of instance is 45 weeks or more in length because of a period of work-based study, then the year of instance is not counted as long. This applies to both learning in the workplace and work experience. Sandwich years-out cannot therefore be recorded as long, and we would also not generally expect foundation degrees to be recorded as long.

### **Audit issue**

#### **Recording the incorrect mode of attendance if a student is only active for part of a year**

15. In general, where a student plans to study at a full-time rate for a portion of the year, for example only for the first semester, they must be returned as part-time, even though they are 'full-time' for that period of study. The mode of attendance must be established with reference to the activity for the whole year of instance.

16. We have found cases where students are on a full-time programme but due to APL are studying at a part-time rate and have been incorrectly recorded as full-time.

## **Annex N Level of study**

1. This annex explains how to determine a student's level of study (foundation degree, other undergraduate or postgraduate). It also explains how the undergraduate data on Table 5 are split, and how to disaggregate postgraduate students between postgraduate taught and postgraduate research.

### **Undergraduate**

2. Undergraduates are students studying towards a first degree (including foundation degree), HE certificate, HE diploma or equivalent (or registered for an institutional HE-level credit that can be counted towards one of these qualifications). In Tables 1a, 2 and 3, undergraduate data are split between 'FD' (foundation degree) and 'UG (excl. FD)' (undergraduate excluding foundation degree). A foundation degree is a two-year, full-time HE course, or the part-time equivalent, which has been validated as a 'foundation degree' and which is expected to incorporate the core features set out in the foundation degree prospectus, HEFCE 00/27. Foundation degree bridging courses should be returned as 'UG (excl. FD)' in Table 3.

3. The undergraduate data in Table 5 are split between:

- students on HND courses
- students on sub-degree level courses excluding HNDs (such as those aiming for an HNC, DipHE or CertEd)
- students on foundation degree courses
- students on another undergraduate degree (excluding foundation degrees but including foundation degree bridging courses).

4. Where a student registers for credits (including Ufi courses) without stating a qualification aim, and where those credits may count towards either an undergraduate degree or a sub-degree qualification level, they should be counted as sub-degree level.

5. Where students have stated multiple qualification aims as part of the same instance, they should be recorded against the lower aim. For example, a student registered for an HND and a degree should be recorded as HND.

### **Postgraduate**

6. Postgraduate students are registered for courses or credits where a normal condition of entry is that entrants are already qualified to degree level: that is, already qualified at Level 6 of the Framework for Higher Education Qualifications in England, Wales and Northern Ireland, published by the Quality Assurance Agency for HE (QAA). There are two groups: research and taught.

- a. Postgraduate research students are students whose qualification aim is a research-based higher degree. A research-based higher degree is a postgraduate programme comprising a research component (including a requirement to produce original work) which is larger than any accompanying taught component

when measured by student effort. The arrangements for assuring and maintaining the academic standards and enhancing the quality of these programmes should be fully compliant with section 1 of the QAA's code of practice for the assurance of academic quality and standards in higher education (postgraduate research programmes).

b. Postgraduate taught students are those who are postgraduates but do not meet the requirements to be a research student.

7. Postgraduates include those on graduate conversion courses and all PGCEs (whether Postgraduate or Professional Graduate Certificate in Education).

## Annex O Long years of study

1. This annex explains how to determine if a year of instance should be classed as 'long', both for full-time and part-time years of instance. It also contains guidance on how to treat learning in the workplace and work experience when determining the length of a year of instance, as well as examples of how to treat mixed-length courses.

### Full-time students

2. For full-time courses, the year of instance will be classified as 'long' if:
  - a. Students are normally required to attend for 45 weeks or more within that year of instance, or
  - b. The year of instance includes a within-course short period of study, awarded as a summer school through a bidding exercise for additional student numbers (ASNs) and explicitly notified by HEFCE.
3. When determining length, students are deemed to be attending the institution if they are actively pursuing full-time studies towards the qualification. Years of instance that are not long are referred to as standard length.
4. If the year of instance is 45 weeks or more in length because of a period of work-based study, then the year of instance is not counted as long. This applies to both learning in the workplace and work experience. Sandwich years-out cannot therefore be recorded as long, and we would also not generally expect foundation degrees to be recorded as long.

#### Example 1

5. A full-time student on a foundation degree studies for 47 weeks in the year of instance, but 10 of these weeks are work-based study. The year of instance is not counted as long, because without the work-based study the number of weeks studied within the year of instance is 37. Similarly a full-time student on a foundation degree studies for 47 weeks in the year of instance entirely in the workplace. The year of instance is not counted as long.

6. For undergraduate students, long courses will typically be accelerated programmes where the qualification is achieved in a much shorter period than is normal for that qualification. The number of credit points studied in the year is not a criterion in the definition of a long year of study.
7. For postgraduate students, most long courses will be for higher degrees.

### Part-time students

8. For part-time courses, the distinction will depend on the length of each year for an equivalent full-time course. The number of weeks attended within the year of instance for part-time students is irrelevant in determining whether the year of instance is long. The equivalent full-time course used should be the same as that used in calculating the FTE. If an equivalent full-time course does not exist, the method for determining

whether a part-time year of instance is long should be consistent with the approach taken to determine the FTE following the guidance in paragraph 3 of Annex J. The rationale for such a judgement should be recorded for audit purposes.

**Example 2**

9. A full-time, one-year course has a 30-week year of instance; the equivalent part-time course lasts for two years, each with a 45-week year of instance. The part-time course would not be long. Conversely, if each year of the part-time course lasts for 30 weeks, but the year of instance for the full-time course is 45 weeks, then the part-time course is classified as long. The FTE for the part-time course would be 0.5 in both cases.

**Example 3**

10. A student completes a two-year, full-time foundation degree, then chooses to undertake a foundation degree bridging course over the summer in order to enrol full-time on the third year of an honours degree. In this case both years of the foundation degree and the third year of the honours degree should be recorded as standard length. The foundation degree bridging course should be recorded separately as a standalone, part-time course with an FTE of 0.3.

**Mixed-length courses**

11. In some cases a full-time course may have one or more years of instance which are long, with one or more standard-length years. When determining which FTE to return as long for the equivalent part-time course, the following two principles should be applied:

- a. The FTE over the entire course should be identical to that of the full-time course.
- b. The proportion of the FTE recorded as long should be the same on both the full-time and part-time programmes.

**Example 4**

12. A two-year, full-time course has year one long and year two standard length. The equivalent part-time course runs over four years. The first two years of the part-time course should be recorded as long, with the remaining two recorded as standard length. The FTE would be 0.5 in each of the four years.

**Example 5**

13. A two-year, full-time course has year one long and year two standard length. The equivalent part-time course lasts two-and-a-half years. If the FTE is 0.8, 0.8 and 0.4 in the three years respectively, then the principle in sub-paragraph 11b of this annex means that 50 per cent of the FTE should be recorded as long. This can be achieved by recording all first-year students as long, and half of the final-year students as long, with the remaining year recorded as standard length.

## Annex P Fee categories in Table 4

1. This annex provides guidance on how to assign years of instance to the appropriate fee level category in Table 4.
2. Table 4 collects information about tuition fees for Home and EU students included within Columns 1 or 2 of Tables 1a, 2 and 3. In general, fee levels are an attribute of the year of the course, not of the individual student. This means, for example, that a student who is on a course designated for student support purposes, but who is not personally eligible for a grant or loan for fees payable by the Student Loans Company (SLC), should still be returned against the appropriate regulated fees category. This will include, for example, many undergraduate students who are aiming for an ELQ. Students on courses for which an NHS bursary is payable, those on an outgoing Erasmus full year abroad, and students on foundation degree bridging courses should be identified separately.
3. Regulated fees are those that apply to qualifying courses as defined in the Student Fees (Qualifying Courses and Persons) (England) Regulations 2007 (SI 2007 No. 778) as amended (including by the Student Fees (Qualifying Courses and Persons) (England) (Amendment) Regulations 2008 (SI 2008 No. 1640)). The fees are subject to overall limits set out in the Student Fees (Amounts) (England) (Amendment) Regulations 2011 (SI 2011 No. 432), which amended the Student Fees (Amounts) (England) Regulations 2004 (SI 2004 No. 1932). These regulations can be found on the web-site [www.legislation.gov.uk](http://www.legislation.gov.uk), by entering the year and number for the statutory instruments in the section 'Search All Legislation'. In general, the fees are:
  - a. Regulated full fee – full-time and sandwich undergraduate courses (where the student is not on their year-out) and full-time PGCE courses. The overall maximum fees for qualifying students on such courses are those described in Regulation 2(3) of the Student Fees (Amounts) (England) (Amendment) Regulations 2011 (SI 2011 No. 432).
  - b. Regulated half fee – undergraduates following sandwich courses who are on their sandwich year-out, students on a non-Erasmus, study-related year abroad, students continuing on part-time ITT courses that commenced prior to 1 September 2010, and students on the final year of a full-time undergraduate programme which is normally required to be completed after less than 15 weeks' attendance. The overall maximum fees for qualifying students on such courses are those described in Regulation 2(4) of the Student Fees (Amounts) (England) (Amendment) Regulations 2011 (SI 2011 No. 432).
  - c. Regulated £0 – outgoing Erasmus full year abroad students only.

Also identified separately in Table 4:

- d. NHS-bursaried years of courses – students on years of courses for which an NHS bursary is payable, even if the individual student does not receive the bursary. More information on NHS bursaries can be found under 'Which courses



can be considered to be NHS-bursaried?' at [www.hefce.ac.uk/learning/datacoll/heses/](http://www.hefce.ac.uk/learning/datacoll/heses/).

e. Foundation degree bridging courses – students on a foundation degree bridging course.

4. Years of instance should be returned under the fee level 'Non-regulated' where the course the student is studying for is not prescribed under Regulation 4 of the Student Fees (Qualifying Courses and Persons) (England) Regulations 2007 (SI 2007 No. 778) as amended.

### **Part-time undergraduate students subject to regulated fees**

5. Students that started part-time ITT courses from 1 September 2010 are no longer subject to regulated fees. Information about this is on the Student Finance England practitioners' web-site (<http://practitioners.studentfinanceengland.co.uk/>) under Practitioner Resources/Student Support Information Notes. SSIN 04/10 and SSIN 02/11 provide advice about students starting ITT courses in 2010-11 and 2011-12 respectively. This means that, in general, the only part-time undergraduate students who should be recorded as being subject to regulated fees are those:

- a. Continuing on part-time ITT courses that commenced prior to 1 September 2010, such as first degrees leading to QTS, CertEds and DTLLS. We do not expect there to be many of these, and those that there are will be in price group C or ITT(QTS).
- b. Attending the final year of a designated full-time course which is ordinarily completed in less than 15 weeks.
- c. Attending the final year of a designated full-time course which is ordinarily completed in 15 weeks or more, but less than 24 weeks.

In cases a and b, the students should be recorded as subject to regulated half fees; in case c they should be recorded as subject to regulated full fees. There may also be other cases of undergraduate student instances that are treated as part-time for HESES purposes because they do not meet the attendance requirement to be full-time, but which are nevertheless still subject to full-time regulated fees. This may include, for example, students who have intermitted for a semester, such that their year of instance does not involve attendance of 24 weeks or more; or students on a full-time course who are repeating part of it on a part-time basis for a year of instance and are still claiming full-time student support.

6. Part 10 of the Education (Student Support) Regulations 2009 (SI 2009 No. 1555), as amended by the Education (Student Support) Regulations 2009 (Amendment) Regulations 2010 (SI 2010 No. 2546), makes provision for the support of students undertaking a designated full-time distance learning course. Part 11 of those regulations, as amended, makes provision for students undertaking a designated part-time course, through grants for help with fees and a £265 grant for help with other course costs. Such students should still be returned under 'non-regulated' fees,

because these courses are not explicitly designated under the Student Fees (Qualifying Courses and Persons) (England) Regulations 2007 (SI 2007 No. 778) as amended.

### **Postgraduate students subject to regulated fees**

7. The only postgraduate students who should be recorded as being subject to regulated fees are those:

- a. On a full-time PGCE, or continuing on a part-time PGCE commenced prior to 1 September 2010. Such students should be recorded as subject to the regulated full or regulated half fees, respectively and will be in price group C or ITT(QTS).
- b. On a full-time course in preparation for a professional examination at postgraduate level, for which a first degree is not a normal requirement for entry. This applies to students on a course leading on successful completion progressively towards registration with the Architects Registration Board, for whom undergraduate-level fees are payable. Such students should be recorded as subject to regulated full fees and we would also expect them normally to be recorded in price group C.

## **Annex Q Identification of old-regime and new-regime students in Table 7**

1. In all cases, when determining whether a student is to be recorded in HESES Table 7 as subject to the old regime or the new regime, institutions should follow the guidance in HESES, rather than the Education (Student Support) Regulations 2011 (statutory instrument 2011 No. 1986). Flowcharts to help institutions determine the fee and funding regime that applies for HESES purposes are provided at paragraph 20. This guidance in HESES is solely for HEFCE data reporting and funding purposes. Institutions should seek guidance from Student Finance England on the application of the student support and fee regulations in relation to what fees may be charged and fee loans provided for eligible students on designated courses.

### **Definitions**

2. Any student who is to be charged regulated fees for a year of instance under the fees regime that is being introduced from September 2012 must be recorded as a new-regime student on Table 7 for that year of instance. In this context, a part-time student is treated as being charged regulated fees under the fees regime that is being introduced from September 2012 if they are eligible to apply for a tuition fee loan under the Education (Student Support) Regulations 2011 (SI 2011 No. 1986).

3. A year of instance should be recorded as coming under the old regime if the student:

- is not being charged regulated fees for the year of instance under the fees regime being introduced from September 2012, and
- is:
  - ‘continuing’ or
  - on an ‘end-on course’, where the previous/original course (to which the current course is an end-on course) commenced before 1 September 2012, or
  - ‘transferring’.

4. For the purpose solely of determining whether a student is continuing, transferring or on an end-on course, where there is a requirement for the student’s mode of study not to change, students should be treated as if they were studying full-time if they are:

- a. On a sandwich year-out.
- b. Repeating part of their full-time course on a part-time basis at the same institution and retain their previous entitlement to full-time student support.
- c. On the final year of a full-time course that is completed in less than 24 weeks, so that their mode of study in HESES changes from full-time to part-time.

5. A year of instance should be recorded as coming under the new regime if:

- the student is being charged regulated fees for the year of instance under the fees regime that is being introduced from September 2012, or
- the year of instance does not meet the definition for coming under the old regime.

6. Students should not be recorded as old-regime students just because they are not eligible for student support and regulated fees (for example, because they are postgraduate, aiming for an ELQ, or on a part-time undergraduate course studying at less than 0.25 FTE).

### **Continuing**

7. For HEFCE funding purposes, continuing means that without any breaks, save for normal vacations and as allowed for under the rules on intermissions below, the student is aiming for the same qualification aim in the same subject and mode of study as they were before 1 September 2012. A student whose sole aim in 2011-12 is for institutional credit, rather than a qualification, will not normally be treated as continuing in 2012-13, even if they pursue further HE-level study in the same subject in that year. Further guidance on the treatment of credit for these purposes is available on the HEFCE website at [www.hefce.ac.uk/learning/datacoll/heses/](http://www.hefce.ac.uk/learning/datacoll/heses/).

8. For the purposes of HESES only, where a student intermits before resuming study on or after 1 September 2012 they may be treated as continuing only if one of the following three circumstances applies:

- a. The intermission is for no more than 12 months plus any normal vacation periods.
- b. The intermission does not exceed 24 months plus any normal vacation period, where:
  - the student is studying on a course leading on successful completion towards registration with the Architects Registration Board, and
  - the intermission is between Part 1 and Part 2 (where both parts are pursued in the same mode of study, but may be taken at the same or different institutions), and
  - the period of professional experience required at the end of Part 1 is not being taken as a sandwich year-out.
- c. They are taking an undergraduate clinical degree, and take an intercalated year to complete a first degree part way through their study towards their first registrable degree in medicine, dentistry or veterinary science.

9. Where the student intermits for no more than 12 months plus any normal vacation period, but the student returns to study for a different qualification aim or in a different subject, the student is not continuing, but they may be treated as 'transferring' subject to meeting the conditions for transferring in paragraph 16.

10. The guidance above on when students can be treated as continuing under the old fee and funding regime is solely for the purpose of completing data returns used for HEFCE funding. Where institutions have questions for their own fee charging policies about the application of the student support and fee regulations, they should seek advice from Student Finance England.

### **End-on course**

11. An 'end-on course' means a first degree with honours taken (disregarding any normal intervening vacation) immediately after successful completion of one of the following qualifications:

- Higher National Certificate (HNC)
- Certificate of Higher Education (CertHE)
- Higher National Diploma (HND)
- Diploma of Higher Education (DipHE)
- foundation degree
- first degree without honours

and where the two courses are studied in the same mode of study (that is, either both are full-time or both are part-time). In most cases, the successful completion of the lower level qualification counts towards the first degree with honours.

12. In this context, successful completion means that the student has achieved in assessment the academic standards necessary to be awarded the qualification. There is no requirement for an end-on course to be studied at the same institution as the previous course. End-on courses do not include any other combinations of courses, such as where students with an HNC top up to an HND, or where postgraduate taught students progress from a postgraduate certificate to a postgraduate diploma and then to a masters qualification.

#### **Example 1**

13. A student studies full-time at a further education college towards an HNC during the 2011-12 academic year. Upon successful completion of the HNC, they progress at the college to a full-time HND starting in September 2012. Following successful completion of the HND, the student progresses to a full-time first degree with honours at a higher education institution in the 2013-14 academic year. In this case, the HND cannot be treated as an end-on course to the HNC and therefore the student would be treated as subject to the new regime in 2012-13 and each subsequent year.

#### **Example 2**

14. A student studies full-time at a further education college towards an HND during the 2011-12 and 2012-13 academic years. Following successful completion of the HND, the student progresses to a full-time first degree with honours at a higher education institution in the 2013-14 academic year. The student is a continuing student in

2012-13, because they are following the same qualification aim in the same subject and mode of study as they were before 1 September 2012 and there has been no intermission of more than 12 months plus any normal vacation period. As the student progresses to the full-time first degree with honours in 2013-14, they are treated as being on an end-on course, because the original HND commenced before 1 September 2012 and mode of study has not changed. The student would therefore be treated for HEFCE funding purposes as subject to the old regime throughout their study towards the HND and first degree with honours. The change of institution in 2013-14 is not relevant to their fee and funding regime status.

### **Example 3**

15. A student studies full-time over two years for a foundation degree, achieving the qualification at the end of the 2010-11 academic year. They do not study during 2011-12, but decide to top-up full-time to a first degree with honours in the 2012-13 academic year, with the top-up commencing after 1 September 2012. Because the top-up to the first degree with honours has not followed immediately (disregarding any normal intervening vacation) after successful completion of the foundation degree, it cannot be treated as an end-on course. The year of instance should therefore be recorded as coming under the new regime.

### **Transferring**

16. For HEFCE funding purposes, 'transferring' means that, on the recommendation of the academic authority, a student ceases one course before its completion and starts another in the same mode of study (that is, either both the discontinued course and the new course are full-time and sandwich, or both are part-time) and at the same level (either both undergraduate or both postgraduate). In order to be treated as transferring, the course from which the student is transferring needs to have started before 1 September 2012. The course to which the student transfers need not be in the same subject, have the same qualification aim or be at the same institution as the discontinued course, but both the discontinuation of the previous course and the commencement of the new course must be on the recommendation of the same academic authority.

17. Unlike with an end-on course, it is possible for a transfer to include a break in study (beyond normal vacation periods) between ceasing the uncompleted course and commencing the new one. However, for HESES purposes, this break in study should not exceed 12 months plus any normal vacation period.

### **Example 4**

18. A full-time student commences study in 2011-12 for a HND in engineering, but on the recommendation of the academic authority changes to study full-time from 2012-13 for a BSc in mathematics instead. The student would be treated as having transferred.

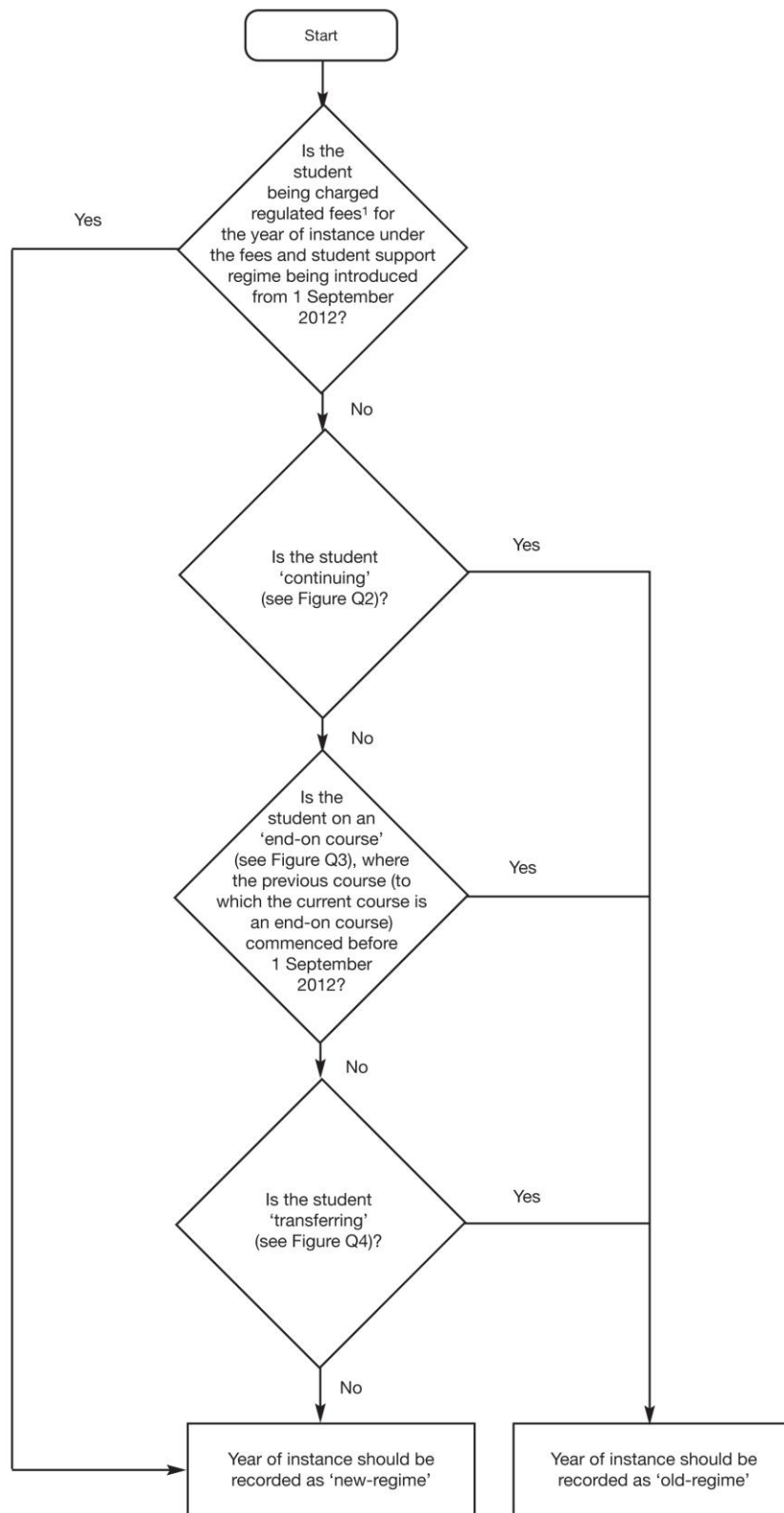
**Example 5**

19. A full-time student commences study for a BA in French in 2011-12, but decides (for whatever reason) that they no longer wish to continue the course and so they withdraw. They subsequently decide to commence study for a BA in history from 2012-13. Because withdrawal from the French degree and commencement of the history degree were not the consequence of a recommendation by the academic authority, the student is not treated as a transfer.

**Flowcharts**

20. The flowcharts at Figures Q1 to Q4 are intended to help institutions determine whether a year of instance should be reported as subject to the old regime or the new regime, including whether the student is 'continuing', 'transferring or on an 'end-on course'.

**Figure Q1 Flow chart for establishing a student's fee and funding regime type (according to HESES definitions)**

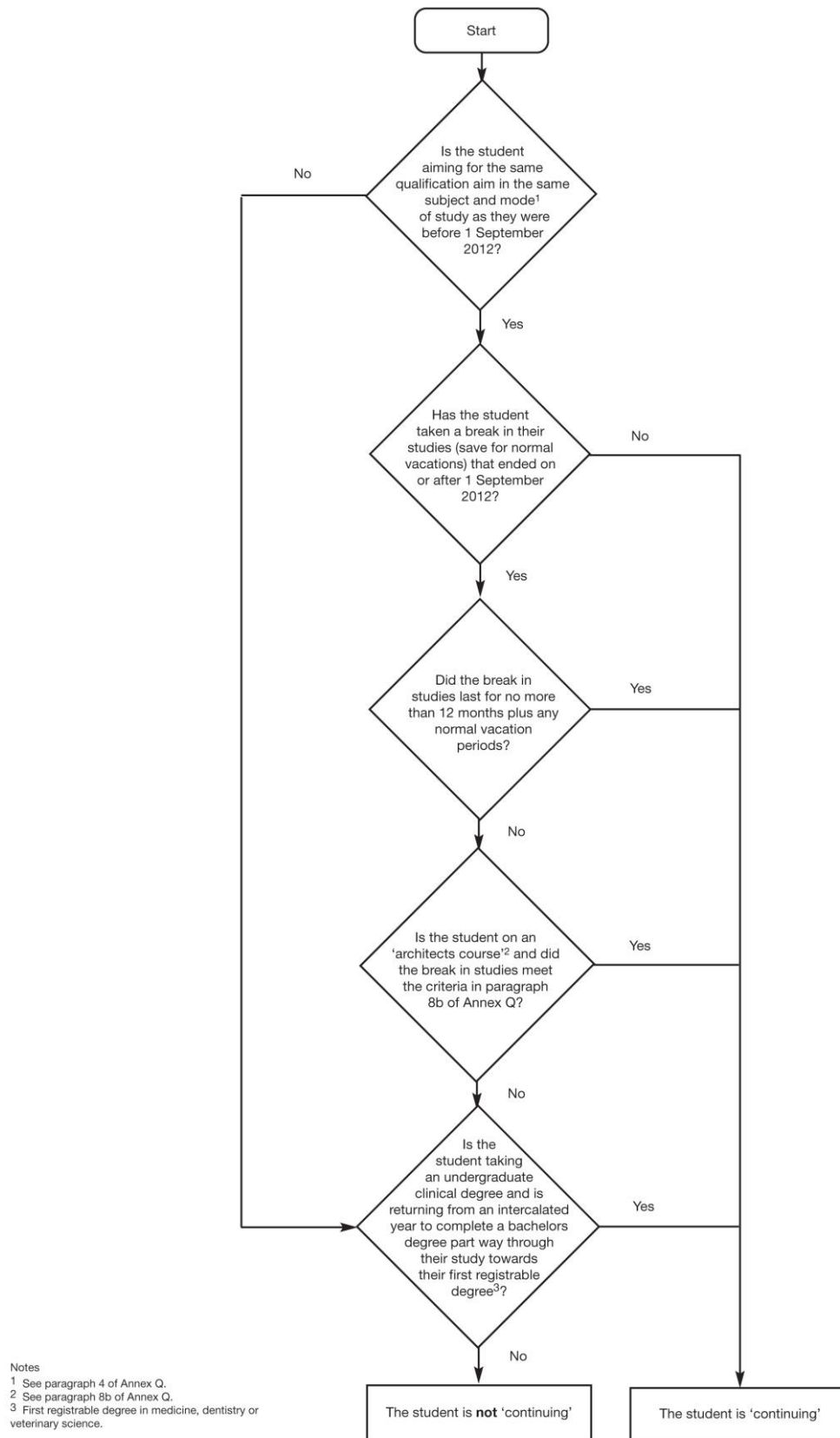


Note

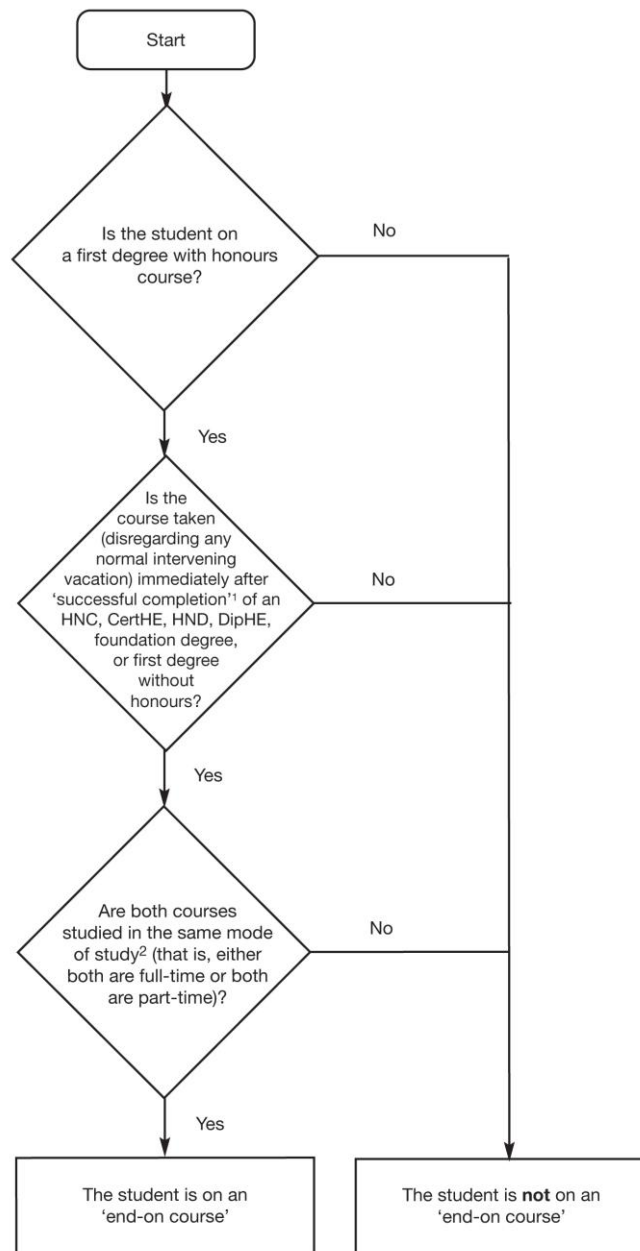
<sup>1</sup> See paragraph 4 of Annex Q.



**Figure Q2 Flow chart for establishing whether a student is ‘continuing’ (according to HESES definitions for establishing fee and funding regime type)**

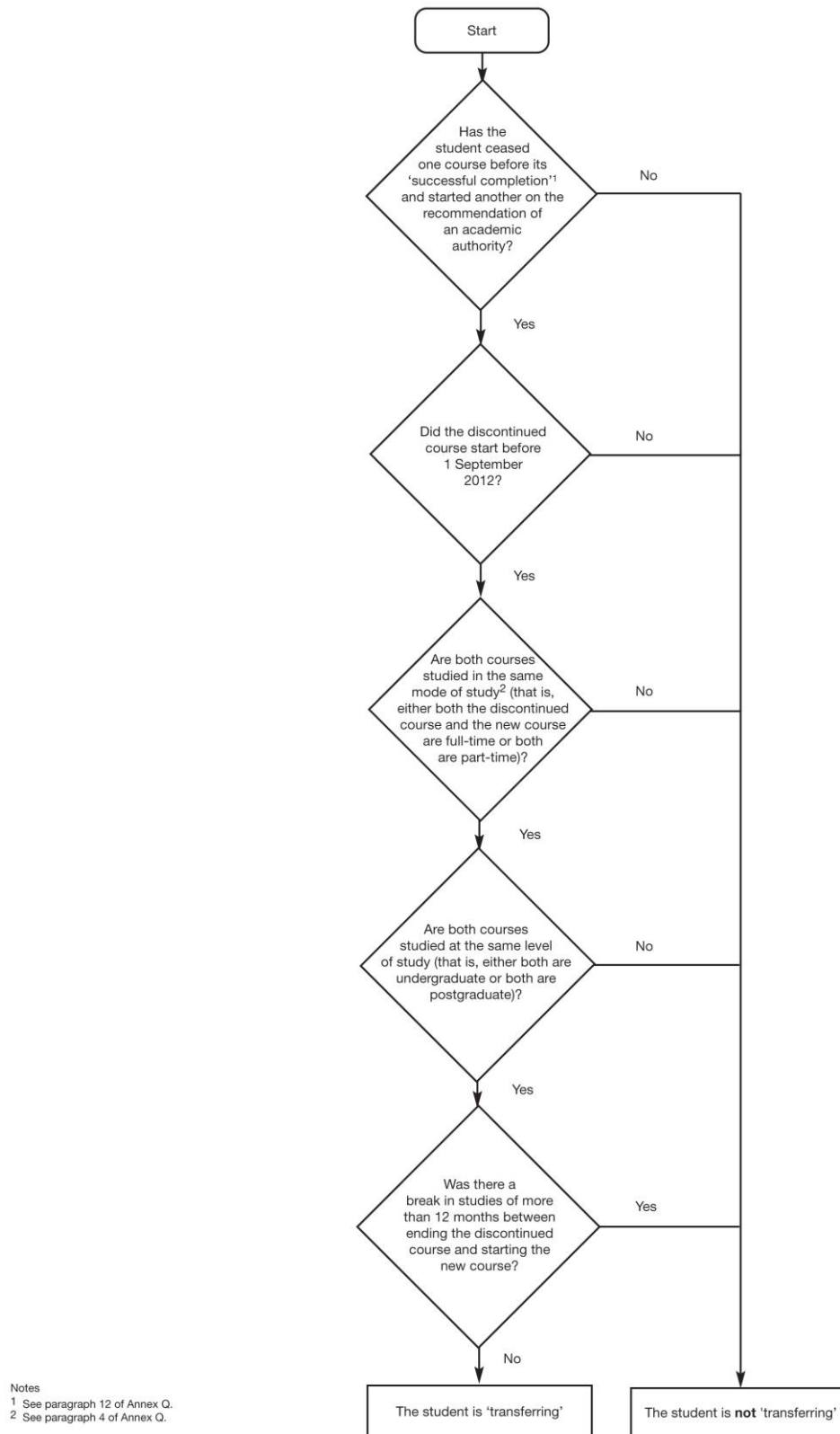


**Figure Q3 Flow chart for establishing whether a student is on an ‘end-on source’ (according to HESES definitions for establishing fee and funding regime type)**



Notes  
 1 See paragraph 12 of Annex Q.  
 2 See paragraph 4 of Annex Q.

**Figure Q4 Flow chart for establishing whether a student is 'transferring' (according to HESES definitions for establishing fee and funding regime type)**



## **Annex R List of abbreviations**

<b>APEL</b>	Accredited prior experiential learning
<b>APL</b>	Accredited prior learning/accreditation of prior learning
<b>ASNs</b>	Additional student numbers
<b>CertEd</b>	Certificate in Education
<b>DEL</b>	Department for Employment and Learning (Northern Ireland)
<b>DipHE</b>	Diploma of Higher Education
<b>DSA</b>	Disabled Students' Allowance
<b>DTLLS</b>	Diploma in Teaching in the Lifelong Learning Sector
<b>EEA</b>	European Economic Area: all EU countries plus Iceland, Liechtenstein and Norway. Students from Switzerland are treated in the same way as those from the EEA
<b>ELQ</b>	Equivalent or lower qualification
<b>Erasmus</b>	European Community action scheme for the mobility of university students. This is part of the European Commission's Lifelong Learning Programme
<b>EU</b>	European Union
<b>FAQs</b>	Frequently asked questions
<b>FD</b>	Foundation degree
<b>FEC</b>	Further education college
<b>FTE</b>	Full-time equivalent/equivalence
<b>HE</b>	Higher education
<b>HEFCE</b>	Higher Education Funding Council for England
<b>HEI</b>	Higher education institution
<b>HEIFES</b>	Higher Education in Further Education: Students Survey
<b>HEPA</b>	HEFCE higher education policy adviser
<b>HESA</b>	Higher Education Statistics Agency
<b>HESES</b>	Higher Education Students Early Statistics Survey
<b>HNC</b>	Higher National Certificate
<b>HND</b>	Higher National Diploma
<b>HPC</b>	Health Professions Council
<b>ILR</b>	The Data Service's individualised learner record
<b>INSET</b>	In-service Education and Training

<b>ITT</b>	Initial Teacher Training
<b>LLN</b>	Lifelong Learning Network
<b>NVQ</b>	National Vocational Qualification
<b>PGCE</b>	Postgraduate/Professional Graduate Certificate in Education
<b>QAA</b>	Quality Assurance Agency for Higher Education
<b>QTLS</b>	Qualified Teacher Learning and Skills status
<b>QTS</b>	Qualified teacher status
<b>SCITT</b>	School-Centred Initial Teacher Training
<b>SIVS</b>	Strategically important and vulnerable subjects
<b>SLC</b>	Student Loans Company
<b>TDA</b>	Training and Development Agency for Schools
<b>Ufi</b>	A government initiative to develop a 'university for industry'. Learning services are provided through Learndirect
<b>UG</b>	Undergraduate
<b>UG (excl. FD)</b>	An undergraduate course that is not a foundation degree

## Annex S Index

References are to paragraph numbers in the main text, or to the annex letter and paragraph numbers of annexes.

Note that some words and phrases are defined in the list of abbreviations at Annex R.

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